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ABSTRACT

A collection of papers on particular issues commissioned by the chief state school officer in Wisconsin reassesses education--the state of the art and the future direction in general. Issues selected for discussions are those that highlighted the majority of the superintendent's discussions with lay people while campaigning for office and considering the future of public education in the state. Selected knowledge individuals formulate and present their candid discussion of the issues and suggest alternatives for the future. Before suggested policy decisions are established, however, the following decision-making model is utilized in the Department of Public Instruction: (1) define the problems or issues, (2) identify different points of view, (3) collect all relevant information, (4) analyze and interpret information, (5) disseminate all information and the alternative solutions, (6) sample preferences to alternative solutions, (7) announce decisions, and (8) evaluate effectiveness of action. The commissioning of the issue papers encompasses the first five steps of the planning model. (Author/MLF)

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A Candid Discussion of the Issues in Education

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University of Wisconsin-Madison

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Madison, Wisconsin
1975

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Foreword

TWO YEARS AGO I WAS INAUGURATED as the chief state school officer in the State of Wisconsin. At that time, I made a commitment to the various responsibilities assigned to the Department of Public Instruction and more specifically, to the State Superintendent's role in public education.

Among the various duties assigned to both the agency and the State Superintendent, perhaps the most influential and, as such, the most important is the leadership role for public education. Within the scope of the leadership role for the Department of Public Instruction, I found a basic need to reassess education—the state of the art and the future direction for education in general.

The tenure of my elected office coincides closely with the United States of America's 200th birthday in 1976. The remaining two years of my term of office become then a challenge toward 3 E's—excellence, efficiency and equality in education for all of us. I am basically optimistic toward this goal and that optimism resides in my belief that this State will support that movement in education.

To those who have been affected by education during recent years, little can be more certain than the need to examine that history, note the "state of the art" during this bicentennial year, and to plan for the future.

The shaping of the future of education will be our most important role as we move into the next decade and toward the year 2000. It, therefore, was appropriate for the Wisconsin Superintendent of Public Instruction to meet this need head-on by commissioning thoughtful, creative, responsible, and reasonable individuals to formulate and present their candid discussion of the issues and to suggest alternatives for the future—yes, and in some cases, dreams. To do less, education will be shaped by the unplanned forces of our environment, by chance, or by tradition.

Every step into the future requires keen sensitivity to the issues and the dynamics for change. Maintenance of a balance between political and professional activism requires all policy makers to base decisions upon logical considerations, scrutiny of established practices, and evidence-based data.

The following pattern for action is being used as a general policy in the Department of Public Instruction and should serve as an assurance that the commissioned papers in this document will be challenged before suggested policy decisions are established and implemented. The following is an outline of the decision-making model that we have utilized during my tenure in office:

1. Define the problem or issue
2. Identify different points of view
3. Collect all relevant information
4. Analyze and interpret information
5. Disseminate all information and the alternative solutions
6. Sample preferences to alternative solutions
7. Announce decisions
8. Evaluate effectiveness of action

The model as presented offers at least a framework for the reader to identify where the Department of Public Instruction is within the model regarding the various issues. As the reader will note, the commissioning of the issue papers has encompassed the first five steps of the planning model. We are presently disseminating all information and are at step six, the sampling of alternative preferences to problem solutions. It is at this step that the State Superintendent wishes to have you share in the proposed futures so that policy and procedures might be reevaluated in light of this input. Readers may agree or disagree with the authors as they present their perceptions, alternatives and predictions of some critical issues. Through discussions of the set of issues, this catalytic force may cause an accelerated tempo toward consideration of change. Prepare yourself as a consumer of this document to react and to offer your alternatives. It should be noted that the policies proposed within the papers represent the respective author's opinion and do not necessarily represent official DPI policy or the State Superintendent's posture regarding these issues. This information is put forth as a stimulant for discussion purposes to reevaluate policy in light of this new insight provided by the papers.

The reader may well ask why these particular issues and why these particular authors? The issues were clearly defined to me by the citizenry as I made my rounds during the campaign. These particular issues seem to highlight the majority of the discussions with lay people as we considered the future of public education in the State of Wisconsin. It seemed incumbent upon me as the elected State Superintendent to take these issues forward into more clearly defined statements and then logically to address these issues with authors of national reputation and expertise in each domain.

The authors were identified through peer nomination in-as-much as nationally recognized individuals in each field were contacted and asked to nominate colleagues whom they felt were in a position to address adequately the subject matter. The papers were initially developed to apply to the state educational agency's role; however, it should be pointed out that each issue and each paper as developed should be refocused on the local educational agency's role. The readers should be aware of making this transition from the state level to the local level in responding to these particular futures. It is obvious that if the Department of Public Instruction modifies its policy in light of an author's input, that this also will have a direct or indirect bearing on policy and implementation at the local educational level.

Finally, I would like to take this opportunity to thank Dr. James M. Lipham of the University of Wisconsin-Madison, Department of Educational Administration for his diligent work in editing and formatting all the papers into one publication. His qualitative commitment to excellence is challenged by no one in education. Also, a special acknowledgement is made that this project was facilitated through Title V, Part C of the Elementary and Secondary Education Act, administered by the U.S. Office of Education.

Barbara Thompson, Ph.D.
State Superintendent

Madison, Wisconsin
July, 1975

PREFACE

As the title implies, the purpose of this publication is to provide a basis whereby all citizens of the State of Wisconsin can candidly discuss the major issues facing the field of education today. But the papers go one step further than simply defining the issues. The authors not only indicate generally what should be done to resolve the problems, but also prescribe specifically what the future role of the Wisconsin Department of Public Instructional should be vis-á-vis the issues.

This work represents the culmination of the efforts of many individuals whose great contributions I am pleased to acknowledge. First, Dr. Barbara S. Thompson, the State Superintendent of Public Instruction, has consistently demonstrated the essence of effective leadership in commissioning this effort—by initially conceptualizing the issues, by seeking the best scholars and practitioners as authors, and by providing the resource, managerial, and technical input required to bring this project to fruition. Such continuing commitment to dealing squarely and openly with the most perplexing of educational issues augurs well for the future of education in Wisconsin, and could well be emulated by chief state school officers throughout the Nation.

This publication obviously would not have been possible except for the knowledge and efforts of its contributing authors: Larry D. Annett, David Burke, Robert E. Clasen, Nathan P. Feinsinger, Charles G. Goodridge, Lee H. Hansen, Arthur M. Harkins, Clifford P. Hooker, Donald Jacobson, Ellen H. Meister, Donald Mrdjenovich, Eleanore J. Roe, James L. Romig, Gerald O. Skaar, Allen T. Slagle, Roland Solberg, and Charles Wileman. Hopefully, their opinions and judgments are accurately reflected despite the stylistic editing of the several position papers.

Next, to personnel in the Division for Management and Planning Services of the Wisconsin Department of Public Instruction, and specifically to Dr. John H. Richert, Administrator of this Title Vc ESEA Project, we are indebted not only for his efficient coordination of the technical and managerial aspects of the project, but also for his effective conceptual input to the authors at critical junctures in preparing and revising the manuscripts. Assisting in this quality control effort were the following personnel of the Wisconsin Department of Public Instruction: Max Ashwill, Sue Ann Bates, Lance Beutel, Archie Buchmiller, William Ernst, Ruel Falk, James Gold, Robert Gomoll, Alan Kingston, Norman Larson, Robert Meyer, Russell Mosely, Leonard Pennington, Lond Rodman, Barbara Shade, Robert Skeway, Thomas Stefonek, and Dwight Stevens.

For help in editing the manuscripts and preparing them for publication, I wish to acknowledge the assistance of the following graduate students in the Department of Educational Administration at the University of Wisconsin-Madison: Barbara H. Bocian, Robert H. Feldman, Albert M. Holmquist, Diana R. Mendenhall, Conrad W. Sigurdson, and John P. Zaremba. Finally, to my secretary, Carol Jean Roche, I am indebted for her skill and speed in typing and retyping the manuscripts.

James M. Lipham

Madison, Wisconsin
June, 1975

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CHAPTER 1

An Overview Of The Issues

James M. Lipham

AS WE WORK TO IMPROVE EDUCATION during the last quarter of this century it is entirely appropriate to face squarely, discuss candidly, and attack systematically some of the major issues currently confronting the field of education. Such is the purpose of this publication.

In this introductory chapter we will first consider how the major educational issues treated herein came to be defined and what operational processes were utilized to address the issues. Then, some observations and generalizations are made concerning the various approaches utilized by the authors in attacking the issues, so that the reader may "get within" the varying perspectives of the writers and thereby relate appropriately to the functional view of education which serves as the basis for organizing the content and for ordering the chapters in this book.

Defining the Issues

It has often been said that an issue well defined is an issue already half solved. In fact, agreement on what it is that constitutes a basic issue in education is a major issue in itself. Hence, the reader who scans the Table of Contents of this or any other publication on educational issues reflects immediately on the relevance of the topics included. Hopefully, educators and all citizens, particularly in Wisconsin, in examining each of the issues treated herein will say, "Yes, we need to do something about that!"

The initial impetus for identifying and defining the substance of the issues treated came from the Wisconsin Superintendent of Public Instruction, Dr. Barbara S. Thompson. As she became engaged in the elective process, she repeatedly encountered certain crucial educational concerns, voiced in various ways by many citizens. She promised not only to candidly confront the issues, but also to try to solve them. In particular, she sought to know how the Wisconsin Department of Public Instruction (DPI) could provide leadership both now and in the years ahead to improve the educative experiences of each citizen of the State.

Accordingly, Dr. Thompson and her key officials took stock of the many issues and selected ten as most pressing. To launch an attack on them, it was decided to commission the best theoreticians and practitioners available within the schools, the universities and other agencies, and the DPI itself to prepare the papers presented herein (See List of Authors). The charge to the authors was a broad one signifying respect for both informed opinion and academic freedom. The authors were instructed to do three things:

1. Provide a brief history of the issue.
2. Describe the current "state of the art."
3. Project alternative futures, particularly with regard to the role of the DPI.

Although as originally conceived the papers were to be somewhat brief, it was only natural that some writers would find it necessary to expand the charge to include such specific topics as nationwide efforts concerning the issue, efforts in several states other than Wisconsin, and efforts in intermediate and local school districts. In projecting the alternative futures, again it was only natural that some of the authors not only endorsed one future over another, but proceeded in no uncertain terms to "tell DPI what to do" to bring about their *preferred* future. In this regard, the reader should be cautioned that the viewpoints expressed herein are for the purpose of analysis and discussion. They represent only the opinions of the authors, and not necessarily those of the DPI (or the editor). In quoting or referencing this work, therefore, one should see to it that appropriate credit of authorship is given. For that reason the authors' names are clearly identified for each chapter. Moreover, care should be taken to see that any material cited is placed in its appropriate and intended context.

Lest the foregoing be misinterpreted as a laissez faire approach to planning by the DPI, however, some additional operational procedures that were used to bring this project to fruition should be noted. First, prior to putting pen to paper, each author was requested to think about, prepare, and then submit a topical working outline to be reviewed by DPI for completeness of coverage of the issue. Next, administration of the project, funded under Title Vc of the Elementary and Secondary Education Act, was assigned to Dr. John H. Richert in the DPI Division for Management and Planning Services, who reviewed with each author the adequacy of the working outline. Then, for quality control, the authors' initial drafts were forwarded to selected and informed personnel in DPI and then to this editor for criticisms and suggestions to the authors for making final revisions. Lest some skeptics erroneously view this procedure as sponsorship or censorship, suffice it to observe that most of the changes made in the drafts were corrections of stylistic errors, instead of changes in substantive content. Regarding judgmental matters and projected futures, for example, the editor was pleased to note the following kinds of marginal notations by DPI quality assurance personnel: "I don't agree, but it's his ball, his bat, and his game!," "In my judgment that's not practical, but let it stand," or even, "Well, if that comes about there go our jobs down the drain." What a refreshing and hopeful contrast this is to the attitude which exists in so many large bureaucracies where anything even hinting of criticism is squelched. Finally, the several manuscripts were resubmitted to the authors for their approval to publish.

Proposing Alternatives

To assist the reader in relating to the issues and their proposed solutions it may be helpful to consider the following: the analytic schema, the level of generality, and the time frame used by the authors.

Analytic Schema

In proposing alternative solutions to issues it is commonplace, particularly in the field of education, to engage in what this editor calls "the Goldilocks syndrome"—"this porridge is too hot, and this is too cold, but this one is just right!" And while such a trichotomous treatment is better than the bipolar opposites of a "good-bad" continuum, one frequently gets the feeling of wading through a procession of straw men before finding some kernel of knowledge. Obviously, however, there are some situations wherein a tripartite treatment is warranted—particularly when each alternative proposed is equally viable, and specifically when the third alternative takes from and perhaps incorporates certain desirable elements of the first two. Therefore, in reading the forthcoming papers, one may be stimulated to see which authors have found the three-variable approach to be useful.

Another approach to defining issues and proposing alternative solutions is that of the grid or "cell block" procedure. Authors who take this tack first identify the major dimensions of an issue (usually two, but occasionally three to make a "box"), develop a matrix, and examine the nature of the resultant cells. This approach seems quite desirable, since it can deal somewhat simultaneously with many variables, it fosters parallel treatment, and it often is less value-laden. One difficulty with this approach, however, is that occasionally some of the cells are more-or-less meaningless since complex issues, such as those addressed in education do not usually come to us so neatly packaged. In any event, several of the authors have utilized a matrix approach both to defining the issues and to projecting future solutions. In fact, one author utilizes a 3 x 3, nine-cell grid without becoming unduly repetitive.

Level of Generality

Concerning level of generality, there are two interrelated questions to be considered: (1) What is scope of the target system?, and (2) Who is qualified to propose solutions?

At first glance, the answer to question one appears easy, the target system for the ten issue papers presented herein is the Wisconsin DPI. But this answer is deceptively simple. Education is everywhere a cooperative venture. It is virtually impossible, therefore, to talk about one role without considering the interlocking complementary roles (Getzels, Lipham, and Campbell, 1968). Therefore, some of the proposed futures take cognizance of the "superordinate" relationships of the DPI—with the Governor, the Legislature, the courts, and ultimately the citizens. Most of the papers, moreover, perforce consider DPI relationships with "subordinate" agencies—intermediate units and local school districts. For this reason, although the focal role examined is that of the DPI, the issue definitions and the solutions proposed herein have application, and hopefully appeal, to a much wider audience.

Even the specification of a focal role, however, begs the question concerning level of generality. Here, for example, the problem is akin to one with which all educators are familiar—that of selecting objectives for learning, wherein such objectives may range from global goals, to general objectives, to specific objectives, to minutely prescribed (sometimes measurable) behaviors. The papers in this book not only run the gamut in generality, but also frequently jump from one level of generality to another (sometimes in the same list of things). The reader, therefore, is advised to be agile.

The second matter, of who is to propose solutions to issues, was tacitly answered when Dr. Thompson commissioned the papers: the best persons both to define the problems and to offer alternative solutions were believed to be those who daily deal with them, both theoretically and practically. And while this authority of expertise cannot be challenged, it also remains that a unique, if not elitist, group of planners, forecasters, and futurists has developed recently in our society. Moreover, these planners, including educational planners, have developed powerful and sophisticated tools and techniques for futures forecasting (Lipham and Hoeh, 1974). To those who would criticize the ten papers as being only the uninformed projections of informed experts, however, we issue the following invitation: "Please apply your expertise to our serious, if bumbling, efforts at futurizing."

Analytic Time Frame

In commissioning the papers, no specific time frame for projecting alternative futures was suggested to the authors. Although most utilized a five- to ten-year frame, some even went beyond the year 2000. Other authors utilized multiple time frames, and still others could not resist dipping into the past to tell us what should have been done yesterday.

Organization of the Issue Papers

As was indicated earlier, problems and issues in the field of education do not come to us neatly defined—much less systematically related. And while it may be true that the only thing holding these issue papers together is the binding, a review of their content revealed that the time-honored functional view of education is useful (Lipham, 1973). The major functions in education are as follows:

1. The instructional program
2. Student personnel
3. Staff personnel
4. School-community relationships
5. Administrative organization
6. Financing education

The first six issue papers deal variously with three of the above: the instructional program, the students served, and school-community relationships. The first paper begins by considering programs in early childhood education. Next, career education, K-12 and beyond, is treated, followed by the intimately interrelated issue of community involvement in education. The issue of what to do about alternative schools—preschool, elementary, and secondary—is then treated. The assessment of educational processes and outcomes, with particular emphasis on statewide assessment, is then applied to programs at all grade levels. The paper on generalizing and individualizing education concludes and serves to interrelate the instructional program with the needs of the individual in our society.

Two papers deal with processing problems in the function of staff personnel: in-service education, and teacher collective negotiations.

Administrative organization is treated in one paper concerning the role of the intermediate unit, the Cooperative Educational Service Agency in Wisconsin.

The function of financing education is dealt with in the paper on federal aid to education.

In the final chapter, a plan is presented for facing further educational issues in the future.

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CHAPTER 2

Early Childhood Education

David Burke

EARLY CHILDHOOD EDUCATION presents a major educational and social policy dilemma to educators and the public as the United States enters the last quarter of the 20th century. This article summarizes material bearing on this dilemma, and provides a set of policy options and a recommendation for educators and policymakers. The material is presented in five sections: the problem, the historical context, current issues, policy options, and conclusions and recommendations.

The Problem

The term "early childhood education" is variously construed; there is little consensus on a "correct" definition. Since in practice early childhood education programs are heterogeneous in form, organization, focus, and purpose, and since they impinge on the lives of children and parents at various chronological points, we may simply use the somewhat neutral term, programs for young children. The use of this phrase serves to avoid extensive and pointless discussion about a proper definition of the term "early childhood education". Programs for young children are herein defined as any organized institutionalized venture or operation designed to serve, for educational and care provision purposes, children under the age of nine, either directly or indirectly (e.g., through television programming or parent education). Thus, while we can focus here on the provision of direct educational services to children of preschool age, we will not neglect related programs. The phrase, programs for young children, is thus interchangeable with early childhood education in this chapter.

This brief discussion itself suggests one aspect of the policy dilemma regarding programs for young children: there are disagreements among parents, educators, and scholars concerning the meaning and value of "education" in relation to young children. What follows is an attempt to clarify the questions around which such disagreements occur.

The Developing Child

Whenever the question, "What shall we do about early childhood education?" arises, an odd sort of chorus responds. One side chants such names as Bloom McVicker, Hunt, Bruner, and Piaget, and such concepts as "the importance of early development," "prevention in place of remediation," and "educational reform." On the other side an antiphony is heard, "fiscal conservatism," "retain the family's traditional role," and "emphasize accountability in lieu of reform." This drama, like most others, provides a denouement which already has begun: the gradual and inexorable development of public programs for young children.

What is the subject of the drama? In part, the answer can be found in the annals of developmental psychology, and we shall discuss certain of that discipline's findings here. Historically, programs for young children have developed in part as a response to formulations of psychologists and others, concerning the importance of the early years of development. Early childhood education as a term, in fact, derives from the developmental psychologist's utilization of infancy, early childhood, middle childhood, and adolescence as convenient rubrics for demarcating certain domains of study within the field.

In early childhood development, the concepts of "critical periods" (during which individuals are theorized to be particularly sensitive to factors affecting their development), and "plasticity" (referring to the proposition that environmental factors can substantively alter developmental states) have recently emerged as significant. The coincidental emergence of certain theoretical formulations in instructional and curriculum theory (perhaps most notably suggested by Jerome Bruner's proposition to the effect that one can instruct virtually anyone in any subject if it is appropriately presented) has contributed to the development of a different climate in education. The new climate supports experimentation in curricular and pedagogical theory and practice, as well as experimentation oriented to linking educational processes to human developmental stages and processes.

Apart from disputes which raise the spectre of the old nature versus nurture debates, or which pit one school of psychologists against another, an even-handed summary of that knowledge which is widely accepted among psychologists might appear as follows: obviously, important developmental processes and events occur during the child's early years. Whether or not this period is "critical" (in psychological terms) is an open question. The proposition that this period is crucial in development, however, is not. The distinction may seem finely drawn, but it is important. There is now no doubt but that much greater attention on the part of educators, scientists, and others will be paid to the early years of development simply because they are accepted as a crucial period. The only question at issue is how much attention is required. If this period in human life is judged to be "critical," then we must accept the fact that a great deal of resources and energy need be devoted to supporting early childhood development. Evidence suggests the following propositions are valid.

1. The capabilities and competence of the individual are derived from an admixture of genotypic and phenotypic factors, the exact nature of which may vary widely among individuals. The precise proportion of individual capability which can clearly be attributed to either set of factors is currently unknown.
2. It is likely that for all domains of development, affective, cognitive, and psychomotor, certain sensitive (if not critical) periods exist. Some of those periods occur during early childhood.
3. The range of negative effects on development, as a result of intervention in the "normal" processes, depends—apparently in a direct or linear manner—on the degree to which the intervention is early, profound (or intensive), and extensive over time.
4. Extreme conditions in the environment, e.g., continued deprivation, excessive stimulation, isolation, do cause negative changes in animal and human organisms; seemingly minor alternations in the milieu may also produce long-term negative consequences.
5. Environmental intervention programs enable, to refer to Harlow, "any knowledgeable experimenter . . . to demonstrate that mammals (including humans) raised in enriched environments are intellectually superior to those raised in deprived environments." (Parentheses added) (Harlow, 1971, p. 146). The point, of course, is that we know we can alter environmental conditions, and in extreme cases that such action alters development processes in the individual, but that does not help us when conditions are not extreme.
6. The extent to which early and direct programmatic intervention can positively alter an individual's array of capabilities is not at this time clear, except in extreme cases, to spell out a corollary of the above statement.
7. There is no known method for determining relationships between early experience and achievement in later life. Beyond certain theoretical propositions, and the common sense dictum which suggests there obviously are relationships, we cannot rely on scienitfic evidence for we cannot yet adequately test hypotheses in this area. (This summary relies on an excellent review, White, 1973).

The weight of the evidence (accounting for the power of theory) clearly suggests that the significance of the early years for the development of human potential is great. Presently, we are unable to determine with any precision what specific sets of factors in the individual's environment may contribute significantly to optimal development. However, we now can hedge against underdevelopment and train for specific performance patterns. Both the current and historic patterns of development within psychology and allied disciplines clearly suggest the importance of increased public concern for the importance of early periods in development. In general, such evidence as psychology has provided us can be said to lend credence to Maria Montessori's prediction that the twentieth century is the century of the child.

Child Rearing, Child Care, and Education: A Changing Perspective

The history of adult treatment of children appears ignoble. Children have usually been pawns in adult economic crises and wars. The march of history suggests, in the case of children, a slow, sure approach to the idea that children are people, endowed with the same inalienable rights and privileges that adults claim. The general progression of values that has occurred can be attested to by reviewing infant mortality rates, the incidence of early death (before age 5), longevity tables, and evidence of society's treatment of children. From infanticide to child labor, from abandonment to child abuse, adult society's relationship with its young has until quite recently been marked principally by patterns of violence and neglect. Our current "enlightened" conditions and gentle treatment of this vast and permanent underclass is an unusual phenomenon.

The observation which has been made of science—that there are more scientists currently alive than the sum total of all scientists who ever lived before, can be paralleled by a similar statement concerning those, whether scientists or not, who are professionally involved with children. This recent profusion of personnel—experts, caregivers, educators, counselors—and materials obviously suggests our inchoate desire to do right by children. Since over the long run of human history this is virtually a new concern (DeMause, 1974, pp. 51-54), we have not as yet been able to determine with any certainty that we are, in fact, providing circumstances appropriate for the growth and development of our children. Why, in the latter half of the twentieth century, we can disagree over whether we believe, or can prove, that maternal deprivation (for instance) is to some degree harmful, is of minor significance compared to the fact that we are willing even to consider the question.

The important fact, which can be overlooked in our sometimes feverish search for "answers", is that we are asking the right questions. We do not know, and cannot know with the evidence at hand, the answers to many of the questions we now ask concerning the appropriateness of society's relations with its children. That we are willing to give those questions serious thought is the more important consideration—more important because of its meaning for us and for our children, and because it demonstrates our apprehension of a profound truth: that the care of children is a social issue of grave importance.

Care as a Social Institution

The emergence in tangible reality of the idea that society's interests are served by attending to its children (perhaps originally raised by Plato, in *The Republic*) developed over centuries, but in America achieved its most powerful expression in the nineteenth century with the development of public schools. At virtually the same time, in response to the same general phenomena of urbanization and industrialization, child care institutions were first organized. They developed with a different focus, perspective, and purpose than did the public schools, and in the United States (as distinct from most other western nations) suffered as they still do from their indentification both with the poor and with those who would reform society. The chronological parallels in the development of public education and day care, because of the vast differences within their histories, provide a fascinating commentary on our society's ambivalence towards women and the young. While public education grew steadily more powerful, and thoroughly a product of its society, day care grew by fits and starts—pale, apparently fragile but indestructible, and quite obviously not adapted to the social order. Public schools grew not only larger, but more systematic, more proficient, more sophisticated, and more alike. Day care, on the other hand, waxed and waned, depended on social crises for growth (the Civil War, the World Wars, depression, and the social upheaval of the 1960's), and faded in times of prosperity, always surviving, but never with powerful public support (Steinfels, 1973).

As a poor cousin to public school education, day care has seemed almost a disorganized embarrassment, claiming no status, no class. No respectable social institution has been prepared to provide support for child care, and as a result the service has seen duty with health, social welfare, and educational agencies. We now confront a situation where this renegade service is perceived as a "catch" by education. Yet the people who are responsible for day care services are skeptical. The feeling is strong among those who labor in day care institutions that the motives of the educational establishment are questionable. And this attitude cannot be overlooked in considering the possible roles that schools might play in early education and child care.

The American Federation of Teachers and the current Commissioner of the U.S. Office of Education have unequivocally declared that it is in education's (hence the nation's) best interests to assume control over all early childhood care and education programming in the United States. Even so, there is little in the way of evidence to assume that our children's interests are clearly well served by such action.

Questions Which Define the Problem

The focus of this paper is on policies and programs for young children. While this includes direct education and care services for children under the required school entrance age (a conventional definition of early childhood education), it is not limited to that. The major questions which confront policymakers on this subject are shown below, together with suggested answers.

1. *Does early intervention promote development in the young child?*
   The answer is clearly "Yes," although it depends upon a variety of factors.
2. *Does early deprivation interfere in developmental processes?*
   Again, the answer is "Yes," again, depending on various factors.
3. *Do interventions in child rearing and care practices benefit the social order?*
   The affirmative arguments are as old as Plato; the historical evidence indicates a relatively steady improvement in the lot of children which apparently reflects positively on the progressive development of human social structures.
4. *Will continued expansion of institutions into areas traditionally the exclusive province of parents, particularly mothers, destroy the family as a social institution?*
   We have never hesitated, when necessary, to develop and extend education, health and care services in support of young children and their families. There is no evidence to suggest such services proved harmful (though the degree of their benign influence can be questioned).
5. *What constitutes the single most pressing organizational problem in respect to delivery of services to young children?*
   Fragmentation and lack of coordination at all levels.

6. *Can public education assume control over national policies and service delivery systems in early childhood education and child care?*
   Probably so.
7. *Should the educational establishment do so?*
   Probably not, although a much more powerful role should be played by educational agencies than in the past. The remainder of this paper addresses this issue in detail.

An Historical Overview

This section will treat briefly the history of ideas and programs in early childhood education, and will present a perspective on the "place" programs for young children occupy in relation to our major social institutions. The question of what may be accomplished in this field is to a substantial extent contingent upon where and how the field developed.

The two most apparent and dramatic factors in considering programs for young children in relation to other institutions are the immense differences in the adult-child relationships in such programs, and the considerable variety of forms of organizing and delivering services to children. There are good reasons for both of these conditions, and this section is organized to illuminate them.

Philosophy and Theory

Two major streams of thought meet, and, one could say, clash head-on over early childhood education. They differ in assumptions, the questions posed (and answered) in derivation, and in effect. The only point on which they do not differ is the subject: children and their relations to society, or conversely. For ease of discourse, one viewpoint will be referred to as the Classic Doctrine; the other, the Romantic Doctrine.

The original question was posed for us by Plato: "What is the appropriate relationship between the individual and the state?" His answer, set forth in his *Dialogues* (principally in *The Republic*), was clear: The state shall subsume the interests of the individual. Let us catalog the features of his conception of what ought to occur to the child. The child's existence assumes meaning when it serves the interest of the state. The rearing and training of the young citizen should be controlled by the state at every step. Plato in effect enunciated the doctrine that the curriculum is political. The young are streamed, if you will, into the established order according to ability, and take their place in society as they have been trained. Their place is largely determined by the extent and character of the education they receive. Girls were to be treated differently, as were slaves.

The fundamentals of the Classic Doctrine constitute an outline of the theory on which the educational systems of most contemporary western nations are based. The principle problem is defined as "How do we (the adults in power) assure conformity to the existing order on the part of children in order to enable them to later take effective part in the social system?" Plato's original conceptions remain the preeminent expression of classic educational doctrine, although his philosophic heirs, principally Locke, Hume, and Berkeley, have appended massive and erudite footnotes to the original set pieces. His most important legacy, however, is the working public educational systems which both serve and help shape our society.

Rousseau serves as the *eminence gris* for the Romantic Doctrine. His philosophy established the concept of the social contract, and he enunciated an educational philosophy which conflicts at every point with the Classic Doctrine. Most elaborately spelled out in *Emile,* he simply proposed that the assumption on which Plato and the Rationalists based their doctrine was wrong. Individuals, *not* the state, mark the beginning and the end of education. Their interests, their development, their lives hold prior claim on our resources. The problem is defined thusly: "How do we provide the means to children to construct their own education, and how do we assure it is, once constructed, not imposed on succeeding generations?" The cues for providing resources were to come naturally from the individual; the educator's role was simply to stay out of the way, attend if called upon, and assure that no real harm befall the child. If thus provided for, according to the Romantic Doctrine, the child flowers and in the flowering is the end—the purpose for which the educational and the social contract are devised. Rousseau's influence was immense. He actually developed a fully organized alternative to the classic doctrine. Following Rousseau came Schiller, Pestalozzi, and Froebel, and a different philosophical and theoretical approach to education developed. Out of this doctrine early childhood education as we know it emerged, including the kindergarten, and to a certain extent, day care programming.

The Classic and Romantic Doctrines derive from two radically different theoretical traditions and propose two radically different approaches to education. This creates in part the policy dilemma represented by early childhood education. Let us explore the ideas in practice.

Program Development

There is no need here to treat systematically the development of public primary and secondary education programs in western nations. In the case of programs for young children, however, it is necessary to sketch briefly their history and to consider the tension generated within that history by virtue of the conflict between ideology and practice.

Lazerson suggests the heart of the problem for the early childhood educator: "Is focusing on the young the best means of engaging in social reform?" (1972, p. 52). Because of the dominance of Classic Doctrine in public educational programs, the early childhood educator, intellectually welded to the Romantic Doctrine, has traditionally perceived of early childhood education as a mission, not simply a service. Often the mission is no less than reform of the existing school system; occasionally, it is reform of the social order. In the eyes of the dedicated early childhood educator, the first few years of life make up the most sensitive of periods in the formation of the individual. Neither society nor its schools, prior to the 20th century, seemed sensitive to such ideas. The history of the early development of kindergarten, the nursery and preschool movement, and day care is shot through with reformist zeal. In every case, the first programs to evolve were developed with, and for, poor children. The ingenious and energetic individuals responsible for these programs were often ostracized and in Pestalozzi's case he was condemned as a traitor. Programs for young children—with the exception of kindergarten—never won universal acceptance in the U.S.

The impulse to seek reform is understandable, for early childhood educators were outcasts working with outcasts. Constantly waging a battle for survival, dealing with children (traditionally perceived as a woman's concern), the connection with reform and with revolutionary movements was inevitable. Social change was to occur naturally as the result of improved child rearing, child health, nutrition, and childhood education practices. Educational change was to occur as early childhood education patterns and practices infiltrated and filtered upwards through the schools. These ideas have substance and current proponents (Anderson and Shane, 1972, pp. 367-390), but they fail to take into account the complexity of change processes. Without the pioneering work of McMillan, Montessori, Peabody, and Barnard, and the complementary theoretical and research efforts of the psychologists, our national debate on programs for young children would be even less effective than it is. But reform never took place. Instead, tension and conflict within and without early childhood education has characterized its history within the United States (Braun & Edwards, 1972).

The primary tension generated within the early education and child care movements stems from the difficulties experienced in regard to this question: "How is it possible to organize and deliver, on a large scale, a service premised on cueing to individual needs and interests?" The Classic Doctrine lent itself to rational operation: simply erect an educational monolith. The Romantic Doctrine, from whence springs virtually the whole of early childhood education, never confronted the question of how to organize on a large scale. Thus, currently in the United States, day care and early education programs operate virtually without any serviceable infrastructures or support systems. This is understandable. The institutional matrix which will permit the development of sound "traditional programs in early education" (fundamentally different in structure from conventional primary school programs) has not yet been developed. Until it is, the internal tension within the collection of movements in early education will not be resolved, and the conflict between early childhood advocates and school people will not diminish.

The question Lazerson posed is exquisitely salient. Though forced by circumstance and ideology to bootleg social reform impulses into early childhood programs, early childhood educators could not wage two wars at once; one, to provide better arrangements for young children; the other, to change the social order. While the two may be linked, that is it may be the case that children will be better served when society itself changes, the two issues can and should be separated for effective consideration. Treating children decently and caring for them well in programs designed to serve them is one thing, but acting as advocates on their behalf is another. One could argue cogently that the single task of paramount importance in early childhood education is simply to organize and extend good programs for young children.

The great experiment to date in extending programs for young children in the U.S. involves kindergarten, and the public school's role in that process deserves attention here.

Kindergarten: An Experiment

Kindergartens first developed independent of American public schools. In the United States they were originally organized by followers of Froebel, the first among them, Margarethe Schurz in Watertown, Wisconsin, and Caroline Frankenburg in Columbus, and Zanesville, Ohio. These were replicas of Froebel's own kindergarten and as part of the German-American communities, at first reflected an idealistic social liberal tradition. Gradually, the practice, ideas, and training schools supporting kindergartens spread. Originally they were organized for those who could afford them, then they were extended principally to the poor in so-called "free" kindergartens, and finally they were incorporated into school systems. The educational thought of Froebel was promoted broadly in America, and with it, his experimentation in programming for young children.

The extensive detail and thoroughness of Frobel's kindergarten plans undoubtedly contributed to the relatively rapid dissemination of his program, and to the ultimate adoption of kindergarten into the public schools of St. Louis (Weber, 1969, p. 27). By 1890, associations to promote kindergartens (both public and private) existed in most major American cities. But by 1913, debate on the value of Froebelian versus liberal (Deweyian) programs and principles became a national issue. The conservative Froebelians lost, and the shape of kindergarten was set for the next few decades in the schools.

The addition of kindergarten to primary school programs was an odd move in many respects. The schools were academically oriented, and the ideals, assumptions and practices upon which the kindergarten was developed clashed at every point. A massive disjunction within the school system was created, every bit as dramatic for the child as is the transition from secondary school to college for the eighteen year old. Kindergartens were simply preschool, cooperative, easy, playful, and experiential, while first grade was "school," competitive, difficult, and task centered, using paper or recitation exercises for accomplishing its goals. The extent to which kindergarten has become fully accepted and incorporated into public schools still is not clear. In some states kindergarten is authorized on an optional basis for local educational agencies. Only within the last decade have other states begun to authorize and support kindergarten programs.

The fundamentally disjunctive nature of kindergarten with school programs still remains. While some evidence exists of kindergarten's influence in primary schooling, it is not substantial, and while elementary programs have influenced kindergarten curricula, the influence has usually manifested itself through incorporating relatively simple so-called per-academic program elements into the kindergarten. This in itself is significant, but the simple addition of a program to an educational system, particularily the addition of one so thoroughly unlike common school practice as that of the kindergarten, cannot be said to be anything other than a program graft. On any terms other than survival, which simply indicates the program graft has been accomplished, there is little evidence to suggest that anyone is better off for it. Primary education is not reformed. Complaints from teachers on both sides of the issue continue. Many children are introduced to school earlier, spend more time in it, and have a more varied experience as a direct result of the addition of kindergarten. But we cannot show that either the life chances of the child or his or her record in school are demonstrably altered by the experience of kindergarten. The challenge of Coleman (1966) and Jencks (1973) remains. Simple additional program input is not sufficient to alter schools or the life chances of individuals.

But perhaps if preschool programs cannot be identified as successful educational experiments, they may be successful, and thus important to us, in other ways. After all, the early development of most programs for young children has focused more on social welfare benefits than educational improvement.

Social Welfare, Health, Education, and Child Development: Who is in Charge?

Programs for young children have been offered under every auspice imaginable. Currently there is a confusing variety of patterns in organizing programs for young children. For example, in New York City, day care is organized and funded, in part, within the Human Resources Department, where most of the social and human service programs are lodged. In Pennsylvania, day care is funded through social welfare, and in Philadelphia operates in a joint program arrangement with the school district. In Madison, Wisconsin, the city day care operation is housed within the Department of Public Health. In California, all operating authorities for day care are placed within the state and local education agencies. The Child Welfare League, the American Academy of Pediatrics, and the National Association for the Education of Young Children publish the most widely distributed and referred to handbooks on standards for early childhood education and care programs. The Federal Interagency Guidelines for Day Care Services utilizes elements of all three.

As of the 1970's, four major patterns of organization dominate the delivery of program services to young children. First, Head Start (originally in the Office of Economic Opportunity, now in the Office of Child Development) provides a national model of an independent child development authority, which is duplicated at the state level to one extent or another by a number of state offices of child development. This model stands distinguished from the others by virtue of its incorporating health, educational, and social services to meet goals identified as developmental. Second, the vast bulk of public funding for child care services, is sifted through the social welfare authorities at the local, state, and federal levels and is designed either to directly supplement and support social welfare programs (WIN, AFDC), or to serve as indirect support systems for future or prior welfare recipients (Social Security Title IVa). Third, the major roles currently played by health authorities involve screening programs (the early preventive screening diagnosis treatment program), certain treatment programs for the severely handicapped, and child abuse and neglect programs—all offered through public health authorities of one sort or another, and some in cooperation with other agencies and systems. Fourth, education authorities may provide a range and variety of preschool services from information gathering, through screening, to full-scale program delivery (as in the isolated case of California).

We should not overlook the fact that although various public agencies have, in a schizophrenic manner, both laid claim to authority to develop policies and programs for young children and denied their responsibilities for any such programs or policies, the major impetus for growth has come from indigenous development. Neighbors, friends, and activists have perceived a need to develop a program for their own and others' children, and have simply done it. The vast majority of programs for young children today have been organized by individuals and small groups working independently of governmental authority and control. This may be one of the few examples left of indigeneous, grass roots organizing on a large scale. Wisconsin is a case in point. While growth in Head Start and public school programs held even over four years (from 1970-74), the number of children served in full and half-day programs doubled as did the number of centers in operation.

The situation in the United States is unusual. Most western nations have rather well-developed policies and programs for young children although the actual proportion of the target populations served may not differ from the United States (see the child care references in Fogarty, et al., 1972). The confusing welter of authorities, and patterns of development mask a reasonably coherent and understandable development process. The question of which agency or authority should assume control may not be as important as what the agency does. Consider the following evidence in the development process of programs for young children:

1. Social institutions other than the family are providing an ever greater mass of services to the child and family.
2. The continued extension of such services is matched by continued attempts at development of comprehensive services.
3. This growth in services is matched by growth in numbers and in the professionalization of individuals acting in various child care capacities.
4. The development and extension of such services in both urban and rural sections of the country has not matched the growth or need/demand for such services.
5. The growth of such services has not kept pace with the policy developments which authorize and support such development, and this is so particularly in reference to children defined as "at risk."

The assumptions and purposes in relation to which programs in early education and care have developed are fundamentally different from those which have historically characterized the development of public education. This has led to serious tension within and among the various groups assuming responsibility for such programs, and between them and other groups. The central question is: "How can programs and policies be effectively organized to preserve the rights and interests of the child as an individual, and at the same time to ensure equal access from all sectors of the community? Thus far, the only operational approximation of an answer to the question has come through the development of Head Start and its more recent analogies, the Child Development Bill of 1971 and the Child and Family Service Act of 1975.

While various agencies, organizations, and enterprises have laid claim to early childhood education or child care or some equivalent programs, none have clearly demonstrated either the commitment or the skill necessary to operate such programs in a fashion which suggests they have an answer to the question posed here.

Current Issues

In this section we will analyze the various experiments begun over the last decade in formulating and implementing programs for young children, consider the actual form of programs where children find themselves, identify certain factors in the socio-political context which affect early childhood programming, and consider briefly the relationship between research and educational and social policy development.

Experimental Programs for Young Children

The extent and diversity of experimental programs in early childhood education suggests the degree of freedom possible in developing programs in this field. Prior to the advent of Head Start in 1965, experimental programs in early childhood were virtually non-existent. Montessori programs represented the only exportable program variation in early childhood education, with the exception of a very few programs conducted at or in relation to universities, e.g. Deutsch in New York, Bank Street in New York, and Gray in Nashville.

Since 1965, however, a rather impressive series of programs, for the most part organized under federal Research and Development auspices and funding, has been developed. The variety and number of such programs are such that it is difficult to find common features among them, and thus evaluation of the programs is not easily done. Moreover, our collective experience in developing and evaluating programs is not sufficient to the task. A brief summary judgment of the decade's work might appear as follows: more educational experimentation has occurred in early childhood education in a shorter time span than at any other time in our nation's educational history, in fact, more experimentation has taken place in this field recently than in any other educational sector; the population which has gained the most from this phenomenon are the researchers responsible for the design, implementation, and evaluation of the experimental programs; the principle lessons thus far available to non-researcher populations are that the experimental program development process is quite complex, educational evaluation methodologies are deficient in the extreme, and programs *can* affect individual children's behaviors and capabilities, depending on a number of variables.

Taxonomies of these experimental programs exist though even they differ considerably from one to another. White (1973, p. 113, V. 2) presents a useful taxonomy of taxonomies which serve as the basis for the material presented herein. The principal dimensions along which programs can be found to differ are: (a) structure, defined as the degree to which the program is preorganized, (b) teacher and child relationship patterns, (c) foundations, the assumption upon which the program is allegedly based, (d) goals and objectives, and for want of a better term, (e) environmental adaptability.

The principal categories which serve to identify and differentiate among programs are cognitive enrichment (developmental), pre-academic (behaviorist), and socio-emotional (psychodynamic). They obviously refer to the theoretical bases or foundations relied upon in developing program curricula. The most widely known examples within the three categories are (in the same order) Werkart's High Scope cognitive development program, the Engelmann-Becker (Bereiter) DISTAR or Open Court program (to refer to the commercial package), and the Bank Street Model.

Two major caveats for educational policymakers need to be noted regarding the various experimental programs in early education. One, most clearly articulated by Weikart (1972), suggests that a key intervening or mediating factor implicated in program experimentation involves the characteristics of staff involved in the program. Pre-service and in-service training, maturation, planning, supervision, process evaluation, and personal characteristics all have impact on the programs in process, and on the outcomes. In short, the old notion of a "teacher-proof" curriculum is thoroughly discredited, and even the most "successful" programs (insofar as we can assess them) are, in their successful implementation, largely dependent upon the judgment and character of the teacher.

A second item involves the "exportability" of a program. Regardless of the character of the programs, there is a large and inescapable difference between an "experiment" (no matter how many experimental sites are involved) and large-scale program development and diffusion. The determinants of success in an experimental program are not necessarily the same as those implicated in program implementation and program change.

Finally, a word must be said concerning the very character of research on program experimentation. This seems to apply regardless of whether we are discussing the subject of early childhood education, special education, or career education. Beilin has noted the appearance in education of a phenomenon he refers to as "magical thinking" (1972, p. 1970), an approach to the subject of change in education which emphasizes the need for change and assumes that it will occur simply because we wish it. As Sarason (1973) has pointed out, the process of change in organizations is little understood, a phenomenon acknowledged even among those who profess it their business to understand such matters. While we profess a great deal of understanding concerning current practices, and while systematic experimentation with program development may provide us with knowledge of that with which we would wish to replace current practices, we are bound by ignorance as we confront the question of how we might *effect* those changes.

Early childhood education presents a special challenge in organizational change for educators and policymakers. We are confronted with an opportunity to develop programs without dissolving current operating practices (as would be necessary, for instance, if we were to redevolop middle or junior high programs). However, even in the case of programs for young children, numerous experiments in programming leave us with little in the way of clues as to how to implement a new program, and why, and what to expect as outcomes.

In point of fact, what we do not know about early childhood programming is more important than what we do know. For instance, concerning the program identified here or in Appendix A, we do not know the:

1. Costs of implementation
2. Implications for staffing patterns
3. Implications for children in socio-emotional or psycho-motor terms
4. Implications for families and communities
5. Implications for teacher preparation
6. Implications for later schooling.

The point is that wholesale adoption of a program makes little sense without a conceptually sound and coherent set of principles as a base for, a powerful and enduring commitment to, and a sound model of, change processes in educational institutions. A straightforward adoption of one or more of the program models identified here, in anything other than an experimental venture, by any educational agency would be nothing more than tangible evidence of magical thinking, or a simple exercise in expediency—perhaps acting to save teacher positions, or to utilize excess educational facilities.

Child Care: What People Do

Discussions of research and development activities in early childhood education programming may be academic in more ways than one. The phenomenon of children in non-family care is not related very easily or well to experiments in curriculum development or programming for young children. While academicians and educators attempt to determine what characteristics in which program variations affect specific traits or behaviors in children, parents are busy making arrangements for their children out of necessity (at least they may perceive it that way), and with little assurance than either their or the children's interests will be well served.

The principle features which have characterized the history of child care in America are: indigenous development indicating a spontaneous social response to perceived individual needs; vigorous public arguments over whether day care is good, bad, or indifferent, for children, for families, or for society; and a thorough ambivalence on the part of government. The original impetus for "day nurseries," the most widespread and common form of care provided in the late 19th and early 20th centuries, was to save the child. The organizations developed to serve children were supported in various ways by charitable and philanthropic agencies. The principle features of those organizations are similar to those which characterize current day care organizations: they were independent, small, and provided a variety of approaches and services, usually tailored to the particular needs of the neighborhood in which they developed. The most significant changes since then have occurred in staff characteristics: currently, staff in day care centers probably have more training, are usually younger, and do not feel obligated to provide services to families as well as their children. Additionally, support for such programs has shifted from the private to the public sector.

Since child care services have consistently suffered from their status as marginal social service enterprises, their history is, to put it mildly, checkered. The irony of course is that despite the various peaks and valleys in the development and extension of child care services, the need/demand factors have remained relatively constant. Developed primarily within the private sector, expensive and difficult to operate, child care has always been subject to shifts in the economy, not to mention shifts in public or professional opinions and attitudes. The survival of the idea must be considered a remarkable testament to the capacity of people to do what needs to be done in spite of obstacles cast in their way. The emergence of a relatively stable economy after World War II, and the development of a relatively extensive and affluent middle class have been accompanied by a consistent, strong development of child care service enterprises. With Lanham Act Funds in World War II, one and a half million children were supported in day care centers. When these funds ceased, only 12,000 children were provided public support for day care. By 1965, approximately 900,000 children were enrolled in half-day (pre-school) or full day care centers. By 1970, 1,150,000 children occupied centers. Over half were supported. Throughout this period, the number of children in licensed, group care centers represented a small fraction of those eligible (never more than 10 per cent). Most children whose mothers worked were cared for in their homes or in family day care centers; some were "latch-key" children—they took care of themselves, whether they were three or nine years of age.

With increased participation in the labor force—an increase marked principally by more extensive participation of mothers (almost one-third of such mothers worked in 1968, according to Ruderman /1968/, a sixty percent increase from 1957)—an historic trend is clear: more women, especially mothers, are working, and more will continue to enter the labor market. The marked increase in the number of child care centers and positions in centers is bound to persist as the roles of women continue to change, and such a phenomenon cannot be ignored when formulating policy in regard to early childhood education and child care programs. In the language of physics, the day care phenomenon has reached a point where it can be judged to have a critical mass.

Social Issues: Women and Child Care

Demographic factors may be the most powerful determinants of change in social institutions. The clear and steady trend which finds 1) more women (both absolutely and proportionately) enrolling in the labor force as the twentieth century progresses, and 2) married women with young children entering the labor force in even greater numbers and at a faster rate than other populations, may explain a paradox. In spite of recent declining birth rates, the demand for and utilization of early childhood education and care facilities has risen at the same time as the population aged 0-6 has declined.

This women and work trend, however, has intriguing features. To a large extent it is dependent on job opportunities; thus on the demand side of the equation, a rise in unemployment will depress, temporarily, the rate of participation by women in the labor force. On the supply side, three factors supporting participation appear to be at work; increasing education levels, altered patterns in family life, and changed attitudes on the part of women who have worked (with collateral effects on non-working women) to favoring work generally (Fogarty et al., 1972; Bowen and Finnegan, 1969; Ruderman, 1968; and Low and Spindler, 1968). In other words, holding a job may soon be the norm for women. Questions of discrimination and sex role segregation are being forced, as it were, simply by virtue of the collective force of individual actions on social structures. The meaning of this, in terms of change in social institutions, particularily education, is not yet clear. It is important to document the major forces likely to effect changes, however, and we must concentrate on the changing roles of women because this probably represents the single most significant factor in altering the structures and operations of social institutions.

As suggested, significant alterations in the labor economy of the U.S. represent an historic change, but whether or not such change reflects changes in attitudes, or constitutes some form of challenge to culturally dominant stereotypes is of little consequence. It may be useful or helpful to understand why this phenomenon is occurring, but in order to act one really needs to confront the facts. The important fact in this instance is simply that women are foregoing the "opportunity" (in reality a forced choice) to assume sole responsibility for rearing society's young. Clearly, if this is the case, another institution (or array of institutions) will step into the breech. Societies, like nature, abhor a vacuum. Any consideration of the place and function of belief systems or ideologies therefore is of little consequence in the long run. The corollary fact is that institutions are forced to respond to demographic stimuli. Some would argue that is the only way people can force institutions to respond.

The first requisite for any response to such demographic changes on the part of any major institutions is the recognition that the task for the institution, in this case for education, is to adapt its structure to accommodate a changed reality. There is no value in assuming that affairs will go on as before, that career patterns, tax structures and educational systems will operate as heretofore. The problem is how to reconcile career patterns, child care arrangements, and family responsibilities in the light of different behavior by women. For educational agencies, the task is both more urgent and more difficult. The fact that educational systems as they currently operate already act as child care operations and assume a wide range of responsibilities in addition to training and educating (e.g., in relation to nutrition, recreation, and health) suggests that their role in the future is likely to be even more diffuse and powerful concerning the lives of children.

The likelihood is not only that education will assume a greater array of responsibilities in relation to young children (already signalled by the development of policies requiring early screening and treatment programs for children with special needs), but also that it will acquire vastly greater responsibilities in relation to families throughout the school years and assume responsibility for programs which will educate would be or future parents.

Admittedly, this is speculation, but it is informed speculation, based on some evidence. The old Freudian canard, that biology is destiny, no longer appears to be even remotely connected to myth, much less reality. The thesis cannot hold, and for institutions such as education, myths, stereotypes, and magical thinking can never serve in place of fact, planning, and development based on informed analysis.

Research, Educational Policy, and Values

In this section, separate reports are filed on research and development in early childhood education, on the development of child care services, and on the significance of demographic indicators suggesting changing patterns in women's roles within society. The separation represents an argument, and serves by virtue of the distinction among the sections to illustrate certain points in the argument. Obviously, the phenomena reported here are interrelated. Women enter the labor force in greater numbers, and traditional family patterns alter; institutions emerge in response—in this case, day care and early education programs—and research and experimentation in respect to the latter phenomenon take place in order to determine whether such programs work, or how they might be made to work better. However straightforward this pattern may appear to be, it is in fact unusual and may point up a breakdown in our capacity to understand and invent.

Ultimately, the subject of this article is planning. Such planning, that is gathering data, evaluating and analyzing it, and developing a synthesis as a basis for action, is not possible when the dominant pattern of operation in an institution is reactive, not pro-active. When the data are deficient and too scattered to draw into a pattern, and when the means to either stimulate or test responses before they are required is lacking, we confront a major problem. The point illustrated by the structure of this section is that there is a large mass of material missing, namely policy relevant research. The transformation of data from basic research development studies to policy formulations is not a simple, linear, two-step process. Rather, it is a complex, multi-phased process which is continuous. Reality is continuous, and the people who manage institutions inevitably have to confront reality. Basic research, even of the quasi-experimental variety, in order to be effective, must ignore reality to a large degree. Drawing upon it in order to develop policy alternatives is an extremely risky business for all of the transformations made in developing the research—from reality to the labortory—must be made in reverse in utilizing research findings to develop a different reality.

We may illustrate this process with an example: the study, *Equality of Educational Opportunity* (Coleman et al., 1966) is principally a form of basic research in which input data were equated to determine the pattern of provisions of educational resources. Output data were sorted to determine the range and character of individual and group achievement, and research into the educational process produced data on the operation of educational systems. The results of the three streams of inquiry were then collapsed to produce the report. In this process the possibility of definitive answers to certain questions was lost. Insofar as that is true, as Hanushek and Kain point out, the report does not serve as well as a policy document (in Mosteller and Moynihan, 1972, p. 136).

In reference to our subject, the Westat survey of Head Start provides a comparable instance of research, allegedly organized as policy relevant, producing results of little or no utility for policy makers. The research accomplished to date relating to questions of whether (or how) policy might be formed in regard to early childhood education would fill a very narrow shelf (Stanford Research Institute, 73, LBJ School of Public Affairs, Report, 2, 1973; Rothenberg, 1973; U.S. Congress, House Committee on Education and Labor, 1970; Coleman and Sandoval, 1971; White et al., 1973; and Shifron, 1974). The direct application of basic and most forms of applied research to social problems without mediating policy researchers is simply not sensible. That does not mean that such basic research is not useful, but if it remains unsupported by tests of its relevance to policy and program development, it cannot provide justification for changes in policy.

This is not to argue that rationality is the only or the most valuable of bases for policy development. Human beings and what they do and fail to do are much too complex, interesting, and mysterious for such a doctrine. The commitment of some people to science, technology, and rationality is itself an act of faith, a value-laden process. The *process* of science, of its rational thought itself, defies comprehension at certain levels.

Policy decisions, particularly, are susceptible to conflict for competing interests provide the grid on which policies are laid out. The fundamental decisions in every case are value decisions. The only place at which results from policy research are useful is in determining appropriate models for implementation. But such research serves as invaluable purpose, just as basic research does. The point is that the purposes (and the research) are different.

In the case of early childhood education, the first question calling for judgment is whether children matter sufficiently to have their interests identified as congruent with the public interest. Thereafter, if the answer is yes, the questions dealt with herein demand answers. These answers would constitute a policy, and as long as policy development is regarded as a process, it is probably valuable to build into the process the means necessary to test policy alternatives, transform the results of basic research, and evaluate outcomes. While the basic decisions are value based, the implementation processes *can* rely on certain forms of rational understanding—of the processes, of the context in which they operate, and of the outcomes.

In summary, the diverse array and mixed results of experimental programs in early childhood suggests that caution may forbid any implementation of a single program, while at the same time supporting the development of a multivalent program mix, and maintaining program development and assessment systems as a part of early childhood programming. Such a development also corresponds to the reality of existing child care programming which is characterized by a wide variety of organizational forms, program characteristics, and service components.

The principal impetus for such development is probably demographic, involving the changing character and form of the work force and the family as women develop careers independent of the home as a norm. This tendency suggests substantial implications for institutions affected by such change. The primary implication involves adapting the structure of the institution, its policies and programs, in order to accommodate a new reality. Given this implication, a second implication involves the institutionalization of appropriate research systems which will enable the institution and the people it affects to understand the meaning of adaptations within the institution, and changes in the context which impinge on the institution and the processes it manages.

Policy Options

It is clear that in considering alternatives for educational policy and program implementation in early childhood education, the question is not whether schools will play a role, but what role they might best play. Circumstances have already forced the issue: kindergartens are a variety of early childhood education programming; compensatory education, often involving programs for young children, is an omnipresent reality in school systems; screening and treatment programs for young children defined as having special needs or "at risk" are becoming a common feature of educational programming; various health, nutrition, extended day care, home-school projects, and education for parenthood programs are distributed across the map of American schools. The demographic factors cited earlier are forcing issues; the federal government now funds and operates some 175 programs for young children (White, 1972, Vol. III, App. IIIC, p. 2), which constitutes pressure of a sort on schools; the Congress is considering the Child and Family Services Act of 1975, known as the Mondale-Brademas Bill; the American Federation of Teachers is on record supporting federally funded, universal early childhood education; the Commissioner of the U.S. Office of Education has proposed that schools be organized as child development service centers (Bell, 1974); and one of the largest states, California, under Wilcon Riles' direction as the chief state school officer, has committed itself to development of a complete network of child care and early education centers and programs (Riles, 1973). There is no question but that America's educational systems will soon assume a significant role in relation to the Nation's young children. The question is "What should be the features of that role?" In three alternative models are presented—alternatives which constitute the major variations within the policy design, although minor variations can be derived from these.

Before the models are presented, it might prove helpful to note generally the pros and cons of a major commitment by schools to early childhood education: The principal advantages to such involvement, viewed in terms of likely social impact, would include the following:

1. Access to funding mechanisms
2. Relative stability of funding levels
3. Public legitimation for early childhood education and child care
4. In-place administrative and organizational systems for program implementation
5. Access to a pool of partially trained, available teachers
6. Advantages in recruitment related to teaching's status and security patterns
7. Access to underutilized, and available physical facilities.

The major disadvantages regarding extensive commitments by public educational systems to early childhood education (disregarding various arguments suggesting that such involvement is either a Communist plot or will destroy the family) are as follows:

1. The failings of existing school programming, in particular its flexibility and bureaucratic, top down curriculum planning
2. An excessive and inappropriate relevance on either dubious or extremely limited assessment systems
3. Utilization of wrongly or poorly trained staff (the retread group)
4. Access to facilities and plant generally inappropriately designed for programs for young children
5. Lack of any democratic, public, or community/parent control in school governance
6. The apparent incapacity or unwillingness of school people to act as an advocate for children.

There are obviously other benefits and drawbacks which could be cited regarding public school involvement in early childhood education, but the foregoing are probably the major arguments. In this section, three major options will be outlined. The article concludes with a discussion of the preferred option.

The Office of Child Development Model

In its most fundamental form, this model exists entirely independently of the public education system. In fact, this *is* the model most commonly endorsed and found within the United States. The Head Start structure is an example of such a system organized at the national level; the Family and Children's Services Act (in both the earlier Child Development bill, and the 1975 version) represent efforts to establish such a model for the purpose of integrating and extending present resources and programs nationally; and the Education Commission of the States proposes such a model as one alternative in its recommendations for organizing state level early childhood development programs. At least 17 states now operate offices of Child Development or their equivalent. The exact character, position, and authority of these offices of child development varies considerably from state to state, but there are features common to most: an independent office (or agency) authorized to collect and disseminate information; to seek coordination among state agencies, and between state, local, and federal agencies in programming for young children; usually *not* responsible for direct provision of services, but indirectly supporting such services (utilizing funding, technical assistance, and occasionally some licensing regulatory powers to support and guide development of services); and charged with assisting in determining state policy and plans regarding young children and in organizing and monitoring policy and program implementation.

Two highly abbreviated organizational charts (Figures 2.1 and 2.2) might represent schematically the position and authority of such an office (assuming it is more than simply an adjunct of the Governor's office). The general pros and cons regarding this approach, from the point of view of the state education agency, might appear as follows.

The pros of this model are that it provides for management structure which will, because it focuses on programs for young children, relieve the state's educational system of that responsibility. It may provide for more flexibility in programming. It could utilize existing (or innovative) funding arrangements and thus not necessarily provide additional strain on education budgets. The Office of Child Development could serve, depending on its authority, as an effective system for developing coordinated service delivery among social service, health and educational systems. This model would build on present strengths in the existing day care and early education programming patterns.

The cons of this model are that it would intrude on the mission of the state's educational system. The model would increase bureaucratic confusion and red tape. Because it is a new concept and untried, it would be hampered in establishing a sizable and secure funding base. There is no guarantee the Office of Child Development system would be more responsible to local community concerns. Organization at the state level, without strong federal support, would result in patchwork policy and programming and continued inequities in the allocation of resources in education.

There is a neat balancing of potential benefits and rawbacks for this model. In one sense, the question of the Office of Child Development model's worth is entirely dependent upon one's point of view. If state controlled development of a new bureaucracy (however the programs are funded) leaves one skeptical, then obviously "viewing with alarm" may be the response. On the other hand,

Fig. 2.1 Model of State Organization Utilizing the Office of Child Development

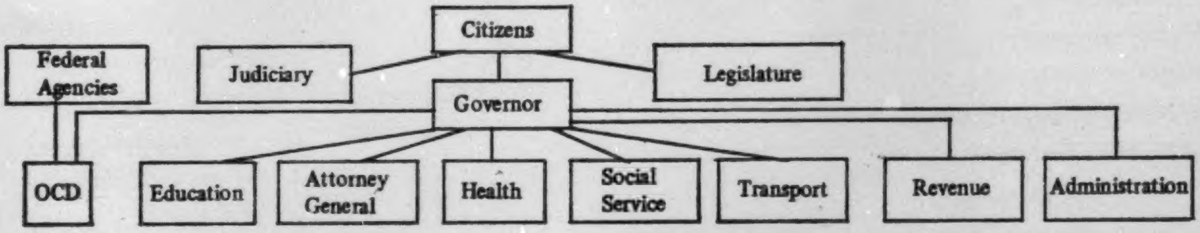
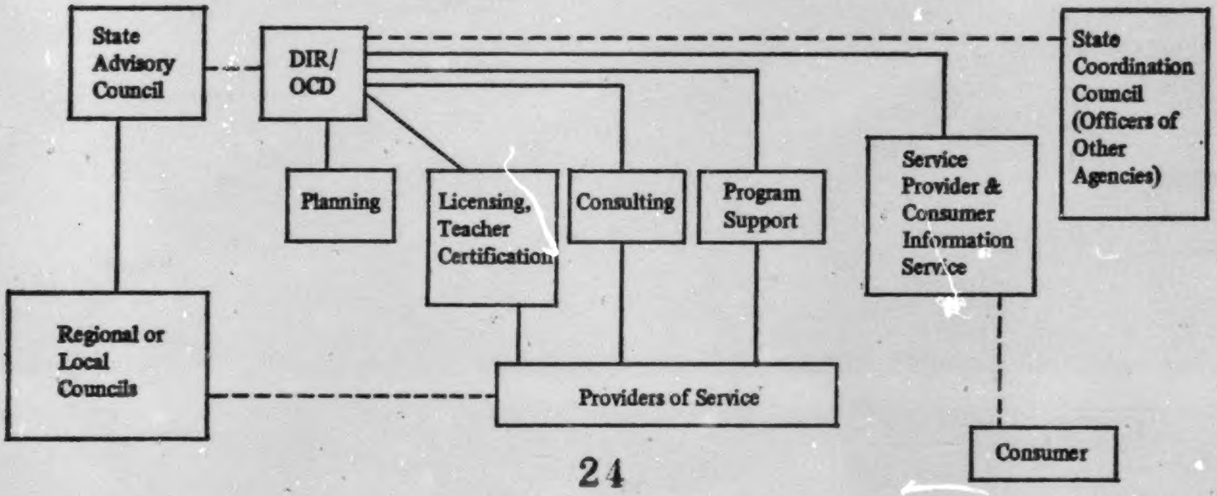

Citizens
Federal Agencies
Judiciary
Legislature
Governor
OCD
Education
Attorney General
Health
Social Service
Transport
Revenue
Administration

Fig. 2.2 Model for the Office of Child Development


State Advisory Council
DIR/ OCD
State Coordination Council (Officers of Other Agencies)
Planning
Licensing, Teacher Certification
Consulting
Program Support
Service Provider & Consumer Information Service
Regional or Local Councils
Providers of Service
Consumer

if one accepts the idea of states having the capability to devise varying, perhaps innovative programs tailored to state's needs and interests, the Office of Child Development Model can be quite attractive. Whether the model operates in a variegated fashion, state to state, or is funded and organized on a national basis, the central question is, can a child development system and structure be justified? If in fact there is no other agency or traditional occupational system capable of, or interested in, early childhood care and education programs, the answer, given present realities and trends, is probably "Yes." If there is, and some in the education establishment appear prepared to argue vigorously for education's responsibility in this area, then the debate takes on a sharper focus. An interest in the part of educators is a necessary but not sufficient condition for a "Yes" to the question, "Should the education establishment control programs for young children?"

The Education/Development Model

A major alternative to the Office of Child Development Model is the Education/Development model. In this arrangement, the public school establishment would assume total control of administering and implementing early childhood and child care programs. This model corresponds more or less to the proposals endorsed by the American Federation of Teachers and the current U.S. Commissioner of Education. In essence, the proposal calls for a national office for children and family services to manage the task of coordinating federal and state efforts in programming for young children, but the administrative authority for delivering programs and utilization of resources in such programs would be lodged exclusively within state and local educational agencies. To a certain extent this is a variation of the proposal currently offered in the Child and the Family Services Act of 1975 with the crucial amendment that only school agencies would assume responsibilities for what the Act currently refers to as "prime sponsorship."

In actuality, the Education/Development model is probably close to the program currently under development in California. There, the State Department of Education controls, with local education agencies, publicly funded day care services, and is in the process of organizing and funding widely available childhood education programs to be provided through local agencies. The first phase in organizing the California Early Childhood Education program included approximately 20,000 eligible four year olds in California and was implemented in 1973-74. Phase two, adding 20 per cent of the eligible population was to begin in 1974-75. The entire population of four year olds was supposed to have access to early childhood and child care programs administered by the schools by 1978-79. In fact, however, progress has been slow, especially for the preschool, early education component, because of inflationary pressures and tight state budgets.

A major distinguishing factor in the California experience, which marks it as a variation of this Education/Development model, is the funding of a mixed delivery system of preschool programs. That is, of 20,000 or so four year olds in programs almost half are enrolled in preschool programs in private (non-profit) early childhood centers. This mixed delivery mode for preschool services and child care services still continues as policy in California. The important factor in the California experience, however, is the assumption by the State Department of Education of control over virtually all publicly funded preschool and child care programs in the state. A separate management team and administrative corps established within the Department controls the programs. If a national Education/Development model were to develop, the pattern of organization would probably roughly correspond with Figures 2.3 and 2.4.

Fig. 2.3 Model of State/Federal Organization Utilizing Education Development

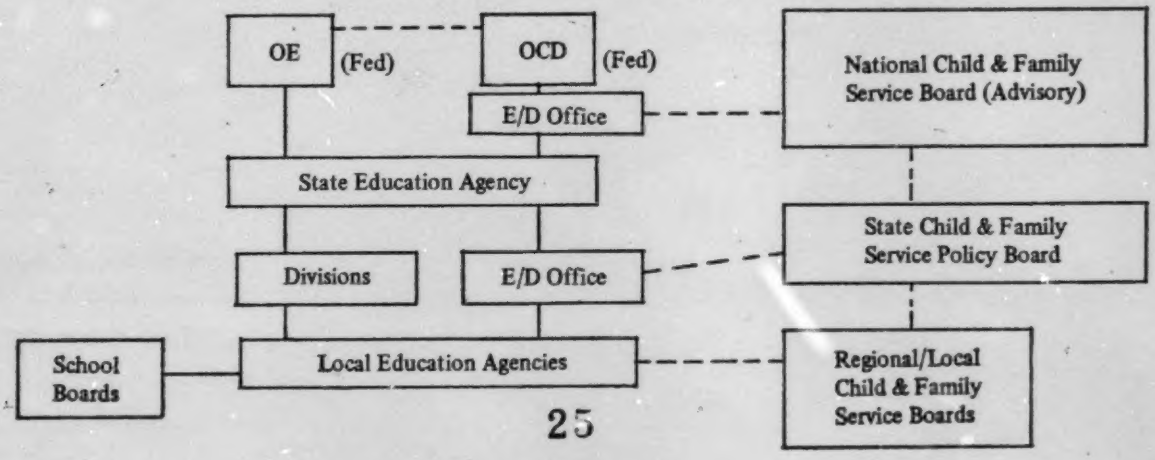
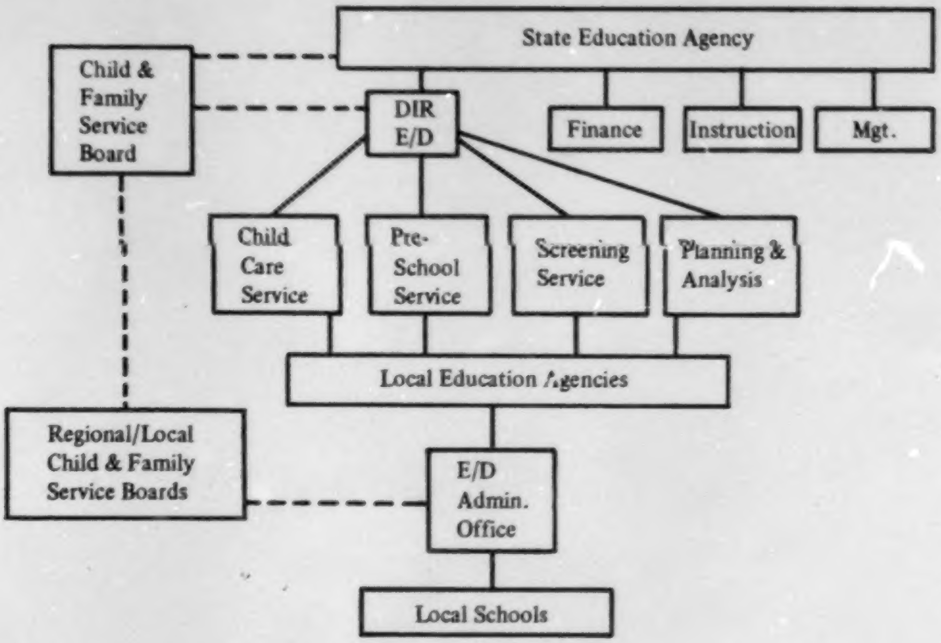

OE
(Fed)
OCD
(Fed)
E/D Office
National Child & Family Service Board (Advisory)
State Education Agency
State Child & Family Service Policy Board
Divisions
E/D Office
School Boards
Local Education Agencies
Regional/Local Child & Family Service Boards

Fig. 2.4 Model of Education Development



The pros and cons on the Education/Development model, generally speaking, are the same as those noted in the introduction to this section. That is, in answer to the question "Should public education agencies assume administrative control over programs for young children?," the lines of argument are clearly drawn. It matters not whether the system is organized as portrayed here, or whether legislation is introduced providing for nationally available programs for young children with a different administrative structure, but still housed within public education. Some will vote it up and some will vote it down.

The important point to make regarding this model is that if a national program is seen as a matter of public interest, the Education/Development model is not likely to work. The governance of education systems in this country inhibits development of nationally organized, universal programs of education. That is not to say that most school programs in this country are not alike—they are—but such similarity is not decreed as national policy; it simply results from a sharing of assumptions and doctrine among educators. The likelihood of a system such as that suggested in Figures 2.4 and 2.5 actually developing a comprehensive national program is low indeed. State and local education agencies would probably guard their "rights" and might actually oppose any encroachment of the federal system on their territory. Such encroachment might be seen as represented in this model. This does not imply that the Education/Development model is inappropriate for a progressive state. California has already shown the way. The Education/Development model, AFT variation, simply poses a major problem which is historically related to school governance arrangements in the U.S.

The Coordinated Human Services Model

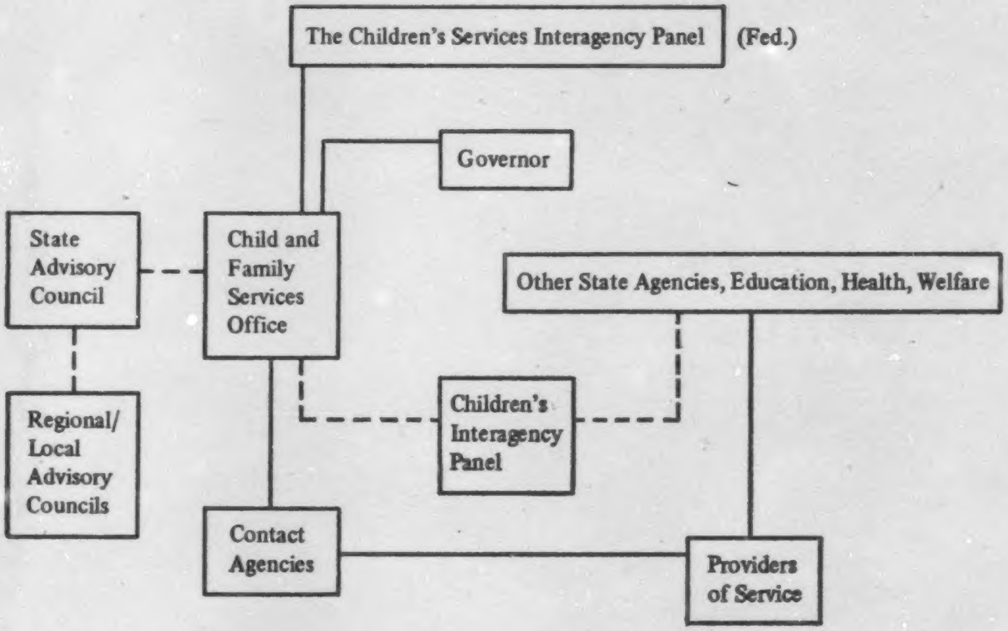
A third major alternative model for fashioning and delivering services to young children and their families involves coordination as the focus of management. Problems of service delivery in the human services are evident in the U.S., and are certainly not limited to those services which affect the lives of young children. Yet their situation is unique among "client groups" or "target populations," and since the Nation has not yet made its commitments and established powerful groups with vested interests in early childhood programs, perhaps the opportunity represented here—to make a choice—need not go by the boards.

Unlike the two previous models, the Coordinated Human Services (CHS) Model does not correspond directly to any established or experimental program. In Massachusetts, however, there appears to be developing a version of this model. The Wisconsin Day Care Advisory Committee has submitted a proposal (April, 1975) to the Board of Health and Social Services which embodies many features of this model, and the Education Commission of the States has proposed a CHS model as one option for program development in the states.

The distinguishing feature of this model is that it acknowledges certain realities confronting planners and policymakers, and addresses them directly. The temptation of course is to avoid confrontation with some of the harsher realities in our conduct of human affairs, and when a development opportunity presents itself in a new service area, we usually prefer to ignore the lessons of the past. The CHS model asknowledges that: (a) legitimate claims of authority and responsibility exist among a variety of agencies in respect of programs for young children, (b) they cannot by ignored, (c) that tedious and difficult as the process is, efforts to coordinate services will positively affect delivery of services in programs for young children. In light of that, the most direct approach might be best. The problem is defined not as how to create a system out of nothing, but rather how to give form and coherence to fragments of a system *already operating.*

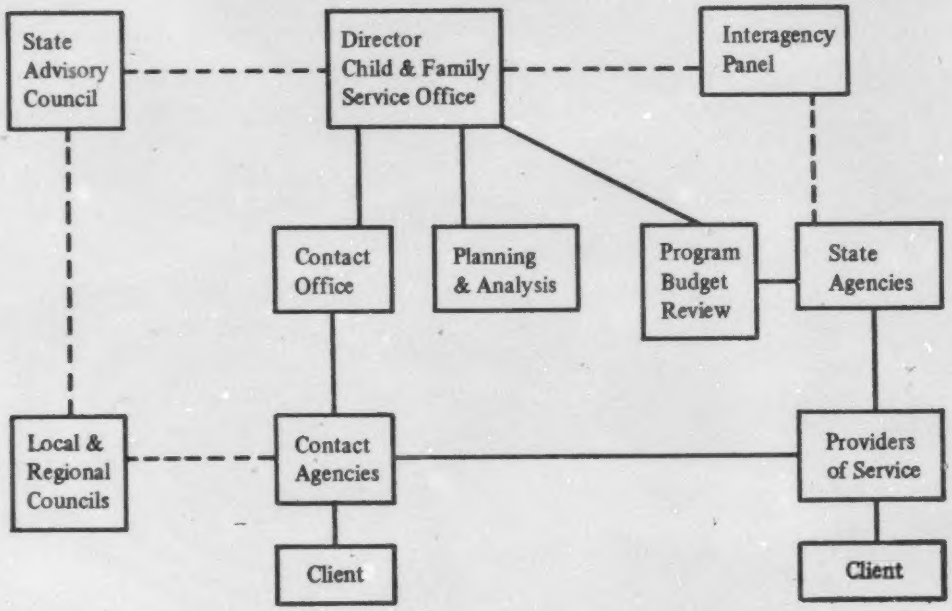
In essence, the CHS model proposes development of a policy management group with broad discretionary powers (employing both incentives and sanctions), able to tap and direct program services in existing arrays of state and national agencies, and where necessary to contract for additional services, either with existing public agencies, or if necessary with independent, nonprofit organizations in the private sector. The CHS model is a compromise, embodying some of the concepts developed within the OCD model (utilization of existing service resources, provisions for contracting authority), and some from the E/D model (strong central authority, guaranteed access to existing administrative authority, and manpower pools). In terms of organization, the model might appear as represented in Figures 2.5 and 2.6.

Fig. 2.5 Model of Federal/State Organization Utilizing Coordinated Human Services


The Children's Services Interagency Panel
(Fed.)
Governor
State Advisory Council
Child and Family Services Office
Other State Agencies, Education, Health, Welfare
Regional/ Local Advisory Councils
Children's Interagency Panel
Contact Agencies
Providers of Service

27

Fig. 2.6 Model of Coordinated Human Services



The pros in this case appear to be: direct action on a major problem area in services to young children, coordination, simplicity of organization, economy, no extensive agency restructuring or full scale development of a new social service system. The *cons* of this model are: the task set the CHS model may simply be too difficult; the model may, unless properly organized, represent another bureaucratic layer, or a cheap symbolic substitute for action. The model breaks with tradition organizationally, by virtue of its impositions regarding policy in certain areas on independent state agencies, and thus may run into massive resistance.

The Coordinated Human Services model for program development in early childhood education represents at one and the same time what is apparently the most appropriate approach, all things considered, and also the approach most difficult to develop. Its reasonableness derives from the simple fact that it corresponds in organizational form to a generally acceptable definition of the problems confronting those who would organize the field. The difficulty associated with this approach is that it in all liklihood pleases no one, and thus politically is extremely fragile. Educators who believe early childhood should be their bailiwick will not be interested in sharing power. The present population of providers and parent-consumers would be skeptical (perhaps appropriately) of any state or federal effort to effectively manage and coordinate the huge and cumbersome bureaucracies we use to organize and provide social and educational services. And the major bureaucracies involved, education, welfare, health, might find the idea of coordination (in reality, with sanctions) rather unappealing.

Perhaps our greatest single problem in this area is that we cannot hear the children. The likelihood of their authentic voice being heard in any debate over measures such as those proposed here is minuscule indeed. Maybe this proposal might serve children best, but they are not likely to have a say in making any decision on it. Which suggests that whatever arrangement we design and develop, the single greatest favor we could do for chlidren would be to provide for advocacy of their interests in a meaningful way.

Discussion and Recommended Alternative

The Case for Education's Involvement

As the preceding pages may have indicated, there are a number of propositions which can be adduced in support of the major thesis, that programs for young children are growing and that education agencies in particular will play important roles in relation to them. The question is not whether, but how.

The following statements, then, constitute the body of the case for the development, by educational institutions, of a suitable role vis-à-vis early childhood education.

1. Programs for young children (as are programs for any other group of children) are clearly a matter of public interest. They are so in theory and in fact.

2. Such programs have never received their due attention in the United States, either from existing social institutions comprising the health, education and welfare complex, or from any other governing body.
3. In part as a result, child care and early education programs have distinctive characteristics. These programs historically and currently have principally been: organized and funded in the private sector by neighbors and friends; operated on a small scale; staffed (and supported) by women; and despite intrasystem differences, these staff share assumptions and ideological convictions different from those which characterize the belief systems of educators.
4. Programs for young children have demonstrated by virtue of their very survival recent growth in response to changing demographic and socio-cultural patterns, and through prolonged and extensive experimentation and research, that can positively affect the lives of children and families.
5. The best of the evidence and theory we have suggests that a policy of extending investments in providing programs and a supportive milieu for young children is beneficial and serves three distinct purposes: it minimizes developmental risks for some children; it contributes to the general well-being of most children served; and it serves the psychological and economic interests of families.
6. The central problem confronting early childhood educators, policymakers, and educators in the public schools is how to organize for program growth while protecting the interests of children (even as we define them) and developing and assuring adequate quality and cost controls.

Of course the latter point suggests the dilemma confronting educational agencies. Organizational development in early childhood education is not a simple matter. Yet circumstances are forcing such development. The principal thing to be said in support of an expanded role for public education in early childhood is that the opportunity for leadership is great. So too is the opportunity for failure.

A Recommendation

Assuming the case presented herein rings true, the challenge, the opportunity, should be taken. The question underlying debate in this issue is really a question concerning leadership. A complete takeover of all early education and child care programs by the educational establishment would be spectacular, but whether or not it would be a spectacular failure is open to debate. Political, economic, and value conflicts would probably militate against the successful establishment of the Education/Development Model. Even in California, while the funding may be public and the administrative authority may be the state's education agency, almost half the children served are in private centers, and control over the program is shared among parents, independent providers of service, and school officials.

As for the Office of Child Development Model, there is a real possibility for development here. Head Start has demonstrated that a national program can be run with excessive political interference—or can it? Contingent as it is upon the cast of mind of those who take political leadership of the country, such a program could be excessively vulnerable to the vagaries of political pressure. In fact, Head Start has been confronted with a shut down order, and with a withering away of financial support. Without strong organizing, lobbying, and powerful "friends," Head Start would not be among the living relics of the "War on Poverty" today.

That leaves us one alternative: to confront the reality of fragmented, inadequate, and yet real working patterns in programs for young children. The fundamental problem is in management. There is none now. As a result, services are weak and inequitably distributed, resources are wasted, agencies that want to help are powerless because so much of what needs to be done needs doing elsewhere. The Coordinated Human Services Model suggests a means for developing the management tools necessary to forge a coalition of interests - at the federal, state, local, and neighborhood level, in service to children. It is by any measure the most difficult, most complex and tedious alternative of the three identified. But this may be a case where no simple answer will suffice.

Creating policy for children requires creating anew our relationships with one another, requires re-evaluating the relationship of the governed to the state, requires a different apprehension of childhood. It is a monumental task, one which in fact confronts education at all levels. There is probably no better place to begin than with young children.

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CHAPTER 3

Career Education

Ellen H. Meister

CAREER EDUCATION REPRESENTS A RESPONSE to a call for educational reform which began with a federal initiative in education in the early 1970's. Today, hundreds of school systems throughout the entire nation are now developing and implementing curricula in career education. To explain this response and its implications, the following dimensions are explored in this issue paper: (1) a definition of career education, (2) an historical perspective of career education, (3) the current status of career education, (4) alternative roles for local school districts and related roles for the Department of Public Instruction (DPI), and (5) conclusions and recommendations regarding career education in the future.

Definition of the Issue

This section focuses on the definition of career education as an outgrowth of initiative for educational reform.

Need for Educational Reform

In 1971, career education became a force for educational change when the federal government provided the initiative and "seed" money to develop career education models in each state. This, coupled with the unanimous commitment by all chief state school officers, caused local educational leaders to rethink their school's role in relation to the outside world. Marland, in his earliest statements, noted that career education required leaders willing to move school into more direct and closer relationships with society's problems, opportunities, and ever-changing needs (Marland, 1971). Until this time career education was often left to teachers who tried to meet student career needs and/or public cries for social relevance by introducing smatterings of career activities into class activities. But, with the federal initiative and the support of state school executives, local school administrators became caught up in the career education movement. They sensed the message. Career education was to be an important aspect in the change of focus in American education.

Involvement: The Key Strategy

Local educational agencies (LEAs) had little time to delineate expectations, organize resources, locate and/or develop leaders and begin to engage all participants in the common goal of reforming education. Without a definition, but with a clear call for reform, school executives were challenged to be the leaders, the risk takers, the ones to claw through and get things done, the corps of innovators to initiate change in the educational system. State education agencies (SEAs) faced the same challenges; in the first half of this decade the position of Career State Consultant was created in more than half of the states to provide key leadership. Some LEAs have followed with the designation of career education coordinators at the district and/or school level. In Wisconsin, the Sheboygan and Eau Claire USOE demonstration projects got underway and Robert S. Meyer was appointed the first State Department Consultant of Career Education.

It soon became apparent that if school programs were to be redesigned for career education, the scope of the task would involve the following key processes: (1) communication, (2) staff development, (3) program development, (4) flexibility improvement, and (5) establishment of educational partnerships. Furthermore, the task would reveal the need to move from the "why" of career education, to the question of "what" is career education. It was at this point that new partners in this reform had identified themselves and were becoming a part of the discussion leading toward definition. The new partners included vocational educators, guidance counselors, and a new group calling themselves career educators—not to mention administrators, teachers from all levels and disciplines, and various members of the larger community. (Community involvement is treated in the next chapter.) The discussion led to such questions as: Was career eductaion answering a need to restructure American education? Was there a need to restore work as having personal and meaningful values? Was it possible that all these underlying needs were beginning to define a new integrative force for the renewal of American education?

The Definition Dialogue Begins

At the policy level, there was a significant reluctance to put forth a specific definition of career education. In fact, we were reminded in the early 70's that if career education was to become more than another passing fad in education, all the individuals who were to share the responsibilities for implementation would have to get involved in the definition building task. And now we know that it was indeed inherent in the overall design to create the need to enter the

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conversation about educational change and to become a part of the career education dialogue on "why" and "what."

Thus, the climate was created for much national debate, some research, and detailed analysis, and considerable testing of assumptions in real school and classrooms. To this day, Marland defends the strategic decision to refrain from putting forth an approved definition of career education (1974, p. 85). However, while a specific definition may have been withheld, there has been no lack of rhetoric in describing the parameters of career education. Arrayed before the many administrators, teachers, and counselors of the Nation are lengthy descriptions of what career education is intended to do, what implications for educational change it carries, and what goals it seeks to realize . Also, from the earliest possible moment, programmatic examples were being drawn together and hurriedly launched by those labeled in the change literature as "early adopters." Obviously, others needed more time to assess the need for educational reform, and more specifically, even the "why" of career education.

When the President, in his 1972 State-of-the-Union message, attempted to give federal recognition to the emerging educational reform movement, his unfortunate ad lib clearly pointed to the unfinished business of defining the concept of career education:

> Now I want to talk about one of the most promising educational initiatives of this administration—career education! You know—vocational education.

In the ensuing years, the defining process has taken many forms, and the resulting definitions have varied according to the levels of abstraction, the settings involved, and the implementors' and/or clients' purposes.

By late 1972, there were already nineteen "official" definitions of career education being disseminated by a variety of educational authorities and state departments of education, and Wisconsin was no exception. Alternately career education was being defined as a program, a concept, a process. As a program, the term awareness, exploration, and preparation were applied, and frequently various methodologies for delivery were incorporated. As a concept, the career education definition placed emphasis on the rationale for educational change, e.g., economic self-sufficiency, self awareness and identity, career decision making, and freedom of choosing from expanding career options. As a process, career education was described in terms of desirable student behaviors.

An Official Definition

Not until late 1974, was an official definition of career education openly disseminated by the U.S. Office of Education. In the Commissioner's policy paper, career education was defined as the "totality of experiences through which one learns about and prepares to engage in work as part of her or his way of living" (Hoyt, 1974, p. 5). Obviously, a second term, work, must also be defined in order to live with this definition; Hoyt obliged, with: "Work is the conscious effort, other than that involved in activities whose primary purpose is either coping or relaxation, aimed at producing benefits for oneself and/or for oneself and others." If necessary, the definitions of "careers" and "education" could also be debated, developed and rendered as official. Perhaps this would be a worthy effort for some, but for other practitioners it is reasonable to move on with the demonstration. Bottoms, from the Georgia State Department of Education, summarized with a living example: "A career is what you live to do, what you do to live" (Marland, 1974, p. 48).

Having arrived at an official definition, and having recognized the power of the career education concept to influence educational change, one is still reminded that change does not come easily in education. Only as teachers, by individual choice turn slowly in the directions of societal needs (and of course, the correlated personal needs of children and youth) will career education become more than a definition. The opportunity to begin this slow turning rests with the ability of educational leaders to involve staff appropriately in educational planning and decision making. Those who bear the responsibility for program implementation must have adequate opportunity to formulate working instructional examples, to try them out in a low-risk asmosphere, and move at their own level and rate in becoming nurturers of the concept.

There are few viable installation models to follow, and there are only scattered guidelines for developing alternatives. Thus, leadership for implementing change could be stranded—or is it? There are literally thousands of people, including chief state school officers; school administrators and other educators; and leaders of business, industry, labor, government, and civic groups who already consider the career education thrust important enough to support a continuing dialogue on the issue.

An Historical Overview

This section provides a brief historical perspective on career education, including three major reasons for its rapid growth.

The decade of the 1960's brought forth a number of theorists who questioned whether or not education was preparing young men and women to cope with an uncertain future. By the end of the decade, the entire educational system was asking for change and the needed resources to bring about major reform. Concurrently, a federal initiative in education was emerging and a new Commissioner of Education was about to become its standard bearer. Generally, Commissioner Marland is given public credit for initiating career education; however, he said that the chief state school officers were the real leaders. To be sure, it was their unanimous support of the concept, along with the Commissioner's use of discretionary dollars to begin model building, that together gave inpetus to this educational reform.

Many educators are familiar with the unfolding story as it appeared throughout the literature of the early 1970's. Three general reasons can be cited as partial explanations for the emergence of career education and its widespread gains in a relatively short time. First, the social and economic conditions called for something like career education. Experiential learning, formerly acquired at home and/or at work, no longer was possible primarily because of changes in the family structure and in the work place. Furthermore, at least the general statistics were available on the numbers of youth who were apparently leaving our nation's schools without the necessary skills to make a smooth transition to employment. General student dissatisfaction with school programs and related complaints about lack of relevance, plus parent and public dissatisfaction with schools which was reflected in voter resistance to the expenditure of funds, were recognized concerns within the educational community. There was an obvious need for a rejuvenated educational program deemed relevant to students and worthwhile to the public. To make rational choices concerning educational paths and personal career goals, individuals needed career information, information processing skills, decision making skills, and the opportunity to explore wide ranging alternatives.

Second, a great deal of both theoretical and practical work had been done on various elements which combined naturally with the career education concept. Between 1951-1971, several studies had been done on working and career theory, personality and career development, and work and decision making. These scholarly efforts provided a strong basis for some career education assumptions leading to what now have become descriptors of career education, i.e., spanning from infancy to adulthood, encompassing of identifiable career development tasks, and focusing on an aspect of development inseparable from physical and personality development. Concurrently, practitioners were experimenting with effective means of developing student awareness of occupational options, and the career guidance movement was expanding in terms of numbers of certified counselors and in related financial support for personnel development.

Third, the change strategy used for the development, diffusion, and adoption of career education was effective in securing widespread participation in the career education effort. Significant numbers of individuals, who were often school administrators, quickly became committed to this major change effort. Thus, school superintendents and principals must be given much credit for their leadership in helping school systems move from a definition of a concept to the implementation of action programs supporting the concept.

Other data can also be acknowledged as supportive of this reform movement in education. Education polls in the early 1970's reaffirmed society's expectation of the schools to equip youth for successful entry into the world of work; an overwhelming 90 per cent of the Gallup poll respondents were for more emphasis on the study of trades, professions, and businesses to help students decide upon careers. A more recent National Opinion Research survey revealed that possession of job skills ranked ahead of most other school objectives as being basic to effective functioning in a changing society (Marland, 1974).

Put simply, the rest in history. Schools had two options: to persevere in the status quo, sustaining educational practices not directly supportive of equipping young people for maximum contribution to individual and national life, or to immediately undertake program changes focusing on intellectual and personal fulfillment and development for useful and satisfying contributions to self and society. Furthermore, school administrators were challenged to provide leadership for change; their choices were to stand at the school house door ready to open it to change, lean against it, or slam it shut and slide the bolt (Venn, 1973, p. 12). The literature of this era generally reflected the following five themes (Meister, 1974, p. 25):

1. Career education has the potential for providing a flexible curriculum, adaptable to the needs of each youngster, and directed toward realistic goals, which societal conditions require.
2. If the educational establishment of this country will accept the concept of career education and work toward its implementation, there are elements contained within it that could bring about useful institutional reforms in the schools.
3. The magnitude of change as represented in career education cannot be a panacea for an educational system to pursue all of its priorities.
4. The principal has a key leadership role in transmitting commitment and goals, and in initiating structures in interaction with the social system to further the direction of change represented in career education.
5. To be effective in this key leadership role, the principal will need to engage in a con-

tinuous program of continuing education as a means of developing the role related to solving the critical problems facing education today.

And the concept of career education caused all educators to reexamine their purposes. In a brief time, all of the partners in the educational enterprise had come to recognize a requirement for change; however, recognition of needed change was only a prerequisite step toward the actual initiation of change. Much unfinished business remains; there are continuing challenges to school leaders to develop integrated models for educational change. We are reminded here of the following salient points underlying the rationale for change through the vehicle of career education (Meister, 1974, p. 11):

Change Rationale

1. The key unit for change is the individual school and its unique organizational/environmental components.
2. The school administrator must be convinced of the value of change and provide leadership to attain it.
3. The principal and school face constraints which are discouraging to change.

Career Education Rationale

1. Educational reform through career education is initiated with understanding, commitment, and action at the classroom level.
2. The principal, with links beyond the classroom, is in a position to initiate structures for the implementation of career education.
3. The general education and college preparation programs have left a large percentage of students unprepared for work entry.

The Current Status

In this section we will: cite some general ways of knowing whether the career education thrust is making any difference in terms of students, educational implementation, and society; describe and analyze both external and internal assessment guidelines; and consider strategies for moving the concept toward an operational form.

Some Ways of Knowing

So much of the current development in career education is based on "face validity". Neither rigorous nor extensive research and development has had time to emerge as a basis for future action and decision making. Thus again, a void, such as in the missing definition, will have to be filled by practitioners who will have to garner the necessary local resources to begin to examine such concerns as (1) the efficacy of the career education concept, (2) the evaluation of the alternative delivery systems, (3) technological and methodological applications of career education, (4) nurturement of career education, and (5) comprehensive program planning and evaluation. The role of the SEA in examining concerns similar to the above at the state level, and in functioning as facilitators and consultants with the LEAs, clearly suggests a co-partnership in the entire effort—a partnership not only going beyond just multiple agency involvement, but also encompassing the key leadership groups from vocational education, guidance and counseling, and the other school disciplines, and community leaders in an integrated effort. Through this arrangement, opportunities are provided to share experimental work in the areas of assessment, planning, and evaluation; to combine and improve dissemination efforts; and to learn from other groups of implementors about successes, failures, and opportunities for improvement. Particularly important here would be the contributions from vocational education and guidance and counseling; these areas already have much experience in student self assessment and followup, to cite just two examples. Also, a co-partnership approach would be supportive in identifying and planning for common priorities in terms of accessing outside funding for LEAs.

What then are the questions that help us know the extent to which educational change is occurring and also the types and effectiveness of the change involved? The basic question is "Are student outcomes consistent with individual and societal needs, and the promise of career education?" Some examples of related questions are:

1. Do outcomes from experience-based learning differ significantly from outcomes resulting from traditional learning approaches?
2. What are the desires of the American public for education? Are there any geographical, socioeconomoc, and/or cultural differences in these desires?
3. What are the existing structures of career education delivery? What are their pros and cons? How do we go about generating and testing new alternatives?
4. What useable and useful products are being produced?
5. What will be the results of the career education program in terms of student outcomes? How do these results compare to those projected in state and USOE models?
6. What are the operational considerations for the delivery systems?
7. What type of instrumentation will be needed to determine the full range of benefits growing out of career education programs?
8. How can we help planners identify and design new strategies?
9. How is career education to be effectively nurtured by LEAs and by SEAs? What

are the roles for research and development in the nurturement process? How can the majority of school districts (small in size and organizational structure) access the data from research and development efforts?

10. How can priorities be realigned in order to access needed resources for program installation?
11. How can the preparation component of career education, delivered primarily through vocational education, be effectively integrated with the total career education concept?
12. What are the most appropriate approaches for orienting teachers, counselors, administrators, and communities to emerging career education programs?
13. What procedures are needed to articulate career education K-12 and beyond?
14. What is the role and form of master planning in career education? How does career education relate to current educational programs?
15. Is what is being done in the name of career education the best way to use available funds? Are the best alternatives for individuals and society being selected for implementation? What are the benefits from various types of investment?
16. What is the present quality and quantity of student auditing? What improvements are needed in order to have accurate student data for the educator's use and for the student's own use in terms of educational and career planning?
17. Are our needs assessments comprehensive, valid, and reliable in identifying high priority unmet needs?

To this partial list of questions, one could also add the four problem areas currently being addressed by the National Institute of Education: (1) improving the understanding of the relationship between education and work, (2) improving access to careers, (3) improving progression in careers, and (4) improving career satisfaction.

The Role of Planning

It is the view of this writer that probably what is needed most at the present time is a comprehensive state plan for career education, along with an assessment and evaluation model. To the extent that these documents can be prepared and supported at both the SEA and LEA levels through the collaborative relationships of vocational education, guidance and counseling, career education, and other disciplines, and community leaders, and to the extent that objectives and resources become shared among these groups, we will have made significant progress toward educational reform.

Similar planning is necessary at the LEA level. Defining what it is that has to be done, (through needs assessments, participatory planning efforts, searches of the literature, priority setting processes, etc.) provides a rational means of coping with the uncertainty of the future. LEAs need to give planning a high priority in the overall career education effort. In effectively relating organization activities to goals they need to utilize planning resource aids such as the following:

1. *Career Education: A Handbook for Implementation* (USOE, 1972) This 100-page easy reading document focuses on ten action steps for implementing career education.
2. Wisconsin Department of Public Instruction vocational education, and guidance and counseling guidelines for developing applications for vocational education funding (DPI, 1974). These DPI-developed brief documents are intended to assist LEAs in formulating fundable proposals in line with the legislative sources of funding and related guidelines.
3. *Educational System Planning* (Kauffman, 1972). This book offers practical guidelines for determining what it is that should be accomplished.
4. *Career Education Program Plan for Fiscal Year 1975* (National Institute of Education, 1974). This document charts current federal directions for career education.
5. *Career Education* (American Vocational Association Yearbook, 1973.) This volume provides multiple ideas, with a particularly strong section on facilitating processes and programs.

Given these and other external aids to planning, and the support of SEA consultants in defining what is to be accomplished, the LEA is in "control" of the planning process. The LEA task is to involve the necessary participants in the plan's development, and to build in the necessary activities to develop participant ownership of the plan. Some examples of the goals and related action recommendations found in Wisconsin LEA planning documents include:

1. To demonstrate the integration of career education concepts with existing curriculum, placing emphasis on awareness K-5, exploration 6-8, and preparation 9-12.
    - 1.1 Collect evidence of career education implementation at the classroom level.
    - 1.2 Assess current curriculum for integration of career education concepts.
    - 1.3 Examine proposed *new* curricular offerings for integration of career education concepts.
    - 1.4 Involve school psychologist in assessment, implementation, and evaluation

activities related to career education.
  1.5 Foster leadership development in counselor role for integrating career education into the curriculum.
  1.6 Recognize student experiences outside the formalized classroom as having educational value.
2. To respond to differentiated staff development needs relative to career education.
  2.1 Identify inservice needs and conduct appropriate staff development experiences for teachers and administrators at the building, area, and district level.
  2.2 Identify specific district or area target groups for involvement in specialized aspects of inservice, e.g., counselors, learning coordinators, unit leaders, vocational educators, etc.
3. To be sensitive to the need for critical evaluation of published career education related resource materials.
  3.1 Establish criteria for evaluating and selecting career education published materials and outline the utilization of these criteria by all individuals and groups making materials recommendations.
4. To build expanded utilization of community resources supporting the integration of career education in the instructional program.
  4.1 Establish guidelines for increased parental and community involvement in career education.
  4.2 Create an awareness of involvement of the staff with community and business world.

Herein perhaps is a lesson to be applied from Getzels in terms of moving from planning to implementation (Getzels, 1973, pp. 22-24). Getzels identified three types of change and the related source and mechanism for each:

Type of Change	Source	Mechanism
Enforced	Cultural	Accommodation
Expedient	Institutional	Reaction
Essential	Voluntarism	Commitment

The message for career educators is that educational change must be perceived as *essential*, only then can voluntary commitments be made to a plan for implementation.

Assessment Guidelines

Bridging the gap between planning and implementation, with assessment occurring before and after each, becomes possible with the aid of a variety of assessment guidelines or tools. One strength behind both SEA and LEA career education planning and implementation efforts in Wisconsin has been the early development of the *K-12 Guide for Intergrating Career Development into Local Curriculum* (K-12 Guide, 1972). This meant that already in 1972, Wisconsin LEAs had access to an identified list of sixteen concepts, and a related set of objectives supporting the major components of the career education model focusing on self, world, of work, and career planning. The impetus generated by use of this singular document has resulted in at least 215 (50 per cent) of the State's school districts attempting comprehensive career education activities. In 1974, 84 of these projects received a modest amount of funding support; however, in all cases, significant local resources were also allocated to support the career education priority (State Plan for Career Education, 1975).

The *K-12 Guide* is presently under study for revision (DPI Career Guidance Advisory Committee, 1975). It is anticipated that in the 1976 revision (1) more emphasis will be placed on learner readiness for career development activities, (2) representative assessment-implmentation-evaluation samples will be included, and (3) the role of the counselor-teacher team in the delivery of career guidance will be highlighted.

Another strength in the overall Wisconsin career education effort has been the foundation for leadership provided through vocational education through the years. DPI support in the area of planning vocational education at the secondary level, and the related growth of vocational education programs at the LEA level, means that part of the system dealing heavily in the preparation phase of career education, has been concerned about the process of reform over the past decade. True, vocational educaton has had significant federal and state resources, and true, only 19,354 (26 per cent) of Wisconsin's high school seniors participated in federally funded vocational "capstone" programs in 1972-73 (Career Education State Plan, 1975). The Wisconsin figures for vocational education, however, are not too dissimilar from USOE figures which indicate a total of 3 million students in "gainful employment" vocational programs, against an overall high school population of 16.5 million. During the same time, career education has had only minimal financial support, and has probably reached a significant number of students.

Vocational educators have long used manpower information and student career objectives, to cite only two types of data, as basic components of planning; they also have developed some experience-based learning models and they have engaged the support of the business community in their delivery system. What then, can career education offer in the form of a challenge for vocational education? We might ask such questions as: How has the *K-12* Guide affected vocational education planning and implementation?, To what extent has the separateness of academic and vocational education actually been diminished?, How is vocational education changing?, What is the description of career education at the elementary level, and what is the appropriate role, if any, for vocational education?, and how is the guidance and counseling function to be integrated with vocational education?

A third potential strength for the Wisconsin career education effort involves guidance counselors. In some instances, career education is getting its key leadership from among the ranks of guidance and counseling; in other situations, counselor participation may vary from silent support, to engaging in a renewal process leading toward change, to direct involvement in specific aspects of career education. Counselors are indeed a critical link in the overall development of career education, but what are their roles and to what extent are they performing them in support of educational reform? Undoubtedly, the current interest and support of counselor renewal will have eventual payoffs for the career education thrust in the years ahead.

Interestingly, a tentative set of USOE implementation categories for career education incremental improvement cuts across all major contributors to career education; the document, however, has had only limited dissemination. (This is a set of fifty-five implementation activities organized into eight categories, each progressively more targeted toward implementation and related student outcomes.) (Wisconsin Career Education Consortium Proposal, 1975). Perhaps as Hoyt's plan for a national assessment of career education unfolds, implementation activities will receive more visibility. Presently, there are some problems which this listing in terms of an emphasis on quantity rather than quality, and in terms of the feasibility of such items as: "100 per cent of the high school students have participated in a work experience for at least one semester," or "the year round school concept is operational." Even so, this document does have one very strong point—all partners and their related contributions in the career education venture are integrated, and the general focus is placed on delivery of program to students.

Finally, a word of caution seems imperative. The whole of career education is more than the sum of the parts just delineated. Whatever the whole, it is clear that more than a curriculum guide is needed, more than just job training is involved, and more than career guidance is at stake. Furthermore, more than federal and/or state guidelines will be needed to make the career education concept operational. Some questions for LEAs to ponder in terms of assessing career education activities to date are:

1. How has your school district demonstrated that career education is a priority area of concern?
2. In what ways can your school district demonstrate the administrative leadership roles in career education?
3. How has your school district demonstrated the integration of career education concepts into the K-12 curriculum?
4. What staff development activities have taken place in your school district?
5. How are career education materials selected, utilized, and evaluated in your school district?
6. How are community resources brought to impact on the career education program in your school district?
7. How is the emergence of staff leadership supported in your school district?
8. What kinds of career education evaluation activities have taken place in your school district?
9. What level of local budgetary support for career education is evident in your school district?
10. What is an estimate of the current status of local school district career education implementation in relation to the categories of incremental improvement?

An additional set of questions focuses on an assessment of previously developed career education processes, techniques, and materials:

1. What is the type and extent of planning done in relation to career education in your school district?
2. What operational committees exist in support of career education in your school district?
3. What changes in staff relationships have been made to facilitate career education implementation in your school district?
4. To what extent has your school district participated in area, state, and national forums, workshops, conventions, etc.?
5. What special techniques has your school district developed to implement career education?
6. What career education products (locally produced) are available for use by the school districts?
7. What career education products (locally produced) are available for dissemination from your school district and/or through the SEA?
8. To what extent has your school district been involved in helping other school districts?

Implementation Strategies

In addition to the above assessment questions, local school districts will have to consider specific strategies for moving the career education concept toward an operational form. This nurturing role has implications for those in leadership positions who must respond to specific problems and needs such as the following:

1. Determining the knowledge and beliefs of key community groups concerning career education.
2. Determining the readiness of staff to provide leadership in career education.
3. Conducting demonstration programs.
4. Initiating staff development programs.
5. Involving the community in developing and delivering career education.
6. Establishing long range program goals.
7. Developing instructional materials.
8. Educating and selecting published materials.

Each of these problems and/or needs suggests a major commitment toward planned change of education; each also implies specific background characteristics of the educational leader involved, such as being initimately familiar with the change process.

Rogers and Shoemaker (1971) offer a model to describe what takes place in an individual mind as the change process moves from knowledge to confirmation. The stages of the change process can be paraphrased and illustrated with an example related to evaluating and selecting published career education materials:

1. *Knowledge.* During the past three years most educators have been exposed to the existence of career education and how it functions. Concurrently, the instructional materials market has been flooded with the mushrooming availability of published materials supposedly in support of this new concept. Existing generalized criteria for evaluating and selecting published materials seem to be incomplete and generally lacking in the needed focus for career education.
2. *Persuasion.* Individual educators are being given ample opportunity to experiment with new instructional materials, as publishers eagerly provide previews in an attempt to expand their markets. There is little risk involved, as the educators begin to accumulate student feedback regarding the use of these new materials which recognize relationships between education and work, and the importance of self identity and related career planning.
3. *Decision.* The educator reaches a point of decision making which involves a series of activities leading to a choice of adopting or rejecting change, such as that represented in the instructional materials which have been on trial. Various members of the educational team are contacted to solicit information from which to make a decision: "Shall newly adopted instructional materials reflect a career education focus, and, if so, what are valid criteria for evaluating and selecting these materials?" Potentially influential input on this and related questions is sought from counselors, reading consultants, teachers from all school levels and teacher educators, library and audio-visual specialists, human relations consultants, and practicing career education leaders. Eventually, a working draft of criteria for evaluating career education materials is developed and pilot tested. Some sample questions include:
    1. Does the material go beyond job/occupation and reflect the psychological and sociological involvement of the worker?
    2. Is the reading level/vocabulary commensurate with the intended audience? Is the reading level/vocabulary supportive of desired student outcomes.
    3. Is the concept load appropriate for the intended audience?
    4. Does the material present a realistic picture (positive and negative aspects of career)?
    5. Are women shown in authority positions over both men and women?
    6. Are minorities shown in authority positions over both other minorities and whites?
    7. Does the material avoid stereotypes (certain types of people or sexes in particular occupations, levels, etc.)?
    8. Is the material truly multi-cultural (showing several cultural groups)?
    9. Does the material deal with interpersonal relations at the student level? at the occupational level?
    10. Does the material accurately reflect a range of values as opposed to emphasizing only white, middle class values?
    11. Are all people treated with dignity regardless of age, economic positions, etc.?
4. *Confirmation.* The pilot data are collected and analyzed; revisions are made in the evaluation criteria and they are shared beyond the scope of the original development and testing group. Strong reinforcement for the validity of the new criteria is received from (1) curriculum specialists who have long supported building a stronger relationship between instructional program and materials selection, (2) media specialists, who have frequently functioned as the liaisons between program and materials, and (3) human relations specialists, who have successfully defined the need to reduce stereotyping in the schools. It is important to note here, however, that while confirmation is received on criteria

for evaluating career education materials, the case is left open for continued staff participation in materials decision making (Madison Public Schools, 1974). A second example is now submitted for planned educational change.

This example combines Miller's (1967) definition of strategy—a planned and systematic attack on a problem—and Havelock's (1970) broad change model focusing on the user and her or his needs and problems. According to Havelock, change agents may work from inside or outside of organization, from line or staff positions, and from any level of the hierarchy. While such change strategies as management by objectives initially operate at the administrative level only, these strategies stimulate the concurrent preparation and emergence of change agents at other levels and locations. In the following operational example, Havelock's chronological steps are used for moving a career education staff development program from its earliest stages wherein new relationships are established, to the later stages where nurturement and self-renewal undergird the process:

1. *Building relationships.* Career education calls for new relationships between academic and vocational education, between business-industry-labor-government and education, between counselors and teachers, and between students and society and education. Learning about these relationships and bringing divergent groups together into a functioning whole becomes the goal of career education staff development.
2. *Diagnosing the problem.* The focus in this is on determining what personnel need inservice education and delineating what specific problems should be addressed. It is within this step that the Wisconsin career development model gained its prominence and the primary target groups for inservice began work on several demonstration-type curriculum guides. The early phases of staff development generally focus on the "why" questions, thus allowing time to develop understanding and commitment; a typical career education staff development session in the early 1970's would have involved a critique of a Marland or Ginsberg article, examination of a curriculum model, and/or development of a rationale and philosophy statement for career education. Later phases involve "what" and "how" type questions, and generally require a larger resource support system.
3. *Acquiring relevant resources.* In the beginning, few educational agencies had discretionary resources identified and/or available for career education staff development. Initial efforts then had to be directed toward discovering what resources were available, i.e., SEA consultants, teacher and counselor educators, leaders from the business community, etc. In addition, long range plans have to be developed for accessing budgetary resources for career education staff development. At minimum, this step takes two years, from identifying resource needs to applying them in large scale staff development settings.
4. *Choosing the solution.* The solution for career education staff development seemingly is a comprehensive plan, which can only be decided upon after needs have been accurately assessed and available resources carefully examined. Interestingly, career education may not be the only priority of a school district; thus, the solution chosen must be compatible with other priorities.
5. *Gaining acceptance.* This is the step where intention is translated into action. Large numbers of individuals and groups have participated in inservice experiences and are now infusing identifiable career education goals into the curriculum.
6. *Stabilizing the innovation and generating Self-renewal.* Few school districts can acknowledge full acceptance of career education, even after five years of staff development activities. Although a significant percentage of the staff are demonstrating their commitment to career education, there still is need to provide for continued nurturement while the entire system moves toward a quest for self-renewal. Building in the wings, however, is a staff subsystem in support of the change; in this case, career education should be evident in a variety of positive environments supported by both internal and external resources.

The two examples just provided are suggestive of change strategies that appear to be working; however, we do not yet have the ability and tools with which to measure the effectiveness of change generated by the process of educational reform. Perhaps as educational leaders concentrate on the transition from an industrial to post-industrial society, they will be able to identify additional clues for implementing change in cultural values, organizational philosophies, and organizational practices. We will also be able to cope in the transition between and among alternative delivery systems for career education.

The next section of this paper identifies three alternative delivery systems, provides a general description of each approach, and highlights related implications for educators at both local and state levels.

Alternative Delivery Systems

Who should control or direct career education? What is the ideal situation for delivery of career education and how should it be attained? How is effective planning accomplished? These questions may presently be stated as if each had one best answer; if this were true, the hundreds of career education workshops, conferences and seminars across the country would have been unnecessary, and the continuing appeals for an implementation team would have gone unheard. Instead, we are lending more than just a sympathetic ear to the near universal call for widespread educational reform. Concurrently, we are increasingly recognizing the potency of a collaborative effort beginning within the educational system and extending into the business-labor-industry-professional community, as well as the home and family structure. Such collaboration does not come easily. In the interim, we will have to draw heavily upon all existing structures as well as developing some simple and targeted new structures as underpinnings for change. In the following pages, three alternative approaches for implementing educational change (as operationalized in career education) will be presented. The "labels" assigned to the approaches—multiple, targeted, and integrated—are intended to capture the inherent potency of each for generating change.

The Multiple Approach

The multiple approach to delivering career education utilizes existing structures, leadership, and planning commitments in vocational education, guidance and counseling, and the individual academic areas. Each of the potential members of a career education team is defining needed change in isolation—or so it would seem! Communications tend to be internal to the individual groups. Each uses its own unique means of assessing needs ,and collecting and interpreting data. Each is potentially influenced by peer-pressures within the internal professional hierarchy in terms of intentions to change, ability to change, and latitude for initiating change. Well-meaning inputs developed for and by each "multiple"—federal legislation, SEA guidelines—can get in the way, particularly if they tend to be "discipline specific" and lack (even indirect) implications for other disciplines. The magnitude of educational change possible under these conditions is directly related to each "multiple's" decision about changing. To the extent that these decisions vary on the issue, a potential continuum from little to significant change exists, and alternately embraces a variety of spurts and stops. While each "multiple" may at times make major contributions, we never quite get it all together!

Leadership roles are interesting, nevertheless, in this model. Role definitions are intended to be quite clear, and obviously territorial. There is a definite—at least implied—chain of command which clearly embraces LEA, SEA, and federal structures. The leadership appears to have great power, and frequently uses it to remind others of its existence. The intriguing thought of a more subtle type of positive influence lingers, but seldom emerges. Interestingly, more often than not, it is an effective type of leadership being provided, in that it meets the expectations for resolving the perceived problems of the "led." It is also efficient leadership in that attempted acts of leadership are generally accepted by the client groups, and usually result in a new structure bettering that which existed. Unfortunately, innumerable barriers exist to moving forward from the existing leadership structures. This condition, however, need not limit the strength of the multiple approach if, by chance, common goals undergird the overall system.

Are common goals possible in the multiple approach? The variables involved here generally relate to factors outside the key participant groups. For example, in a healthy organization, many individuals and groups could independently identify and arrive at similar goal statements. In order for this to occur, however, we would have to admit to exceptional school district administrative leadership and/or the building principal acting as the "coordinator of career education". Generally speaking, goals are more apt to represent some degree of diversity, at least in terms of priority. This is not intended to slight the sophisticated degree of planning already built into selected disciplines; in fact, the future career education team would do well to examine and learn from these planning strengths (and weaknesses, where they exist).

Is the multiple approach a logical alternative? "Definitely yes," at least as an interim approach leading toward future collaboration. However, the answer is "Definitely no" if all evidence suggests a limitation is being placed on alternatives. If no one decides to change, and little or no dissonance is registered, how can we eventually credit this approach with the success?

The Targeted Approach

The targeted approach differs from the multiple approach in one major sense; it utilizes a new structure revolving around the "person" who directs career education. This person may be a former academic classroom teacher, vocational educator, counselor, curriculum specialist, administrator, or someone from the business-labor-industry-professional community. The single most critical aspect of this approach is the emergence and development of this new leadership. Proehl puts it succinctly: "By means of effective *communication*, the new leadership must bring a broad representation of people in every community to total *involvement* in the development and implementation of career education and lead them to full commitment in active support of its further growth" (Proehl, 1973, p. 203).

The targeted approach provides for an efficient communication system, having the potential of also being effective. Priority setting can be initiated and steered, commitments from the board of education and superintendent can be easily secured, and, in some districts are generously offered. Needs assessments are often mandated, and the necessary resources allocated, to lend credibility and impetus to the change movement. Frequently, there are other needs assessment activities in process, so that data from varied sources can be brought to bear on educational decision making. Additional input for change direction may be available from key career education leadership positions at state and federal levels, if the existing multiple structures permit and facilitate its filtering through.

The magnitude of change possible under the designated leader approach has the potential of being significant; however, an ever present barrier is the client's perception of detailed central control. Lipham suggests that the scope of leadership relationships be functionally diffuse so as to permit limitless obligations (Lipham, 1973, p. 9); in this respect, the designated career education coordinator is indeed provided with a challenge. Another challenge revolves around the increased risk facing the designated leader. Unless other mechanisms exist in support of experimental efforts, he or she is apt to behave either cautiously, i.e., exhibiting a low tolerance for uncertainty; and/or in a nonpersuasive manner.

The potential, however, for an effective career education delivery system is present in the targeted approach. Furthermore, the results already are in for many SEAs and LEAs who have had two or more years of designated career education leadership: healthy environments for planning have been created, models with high levels of staff participation have been generated, gestures toward expanded community involvement have been made, long-range planning needs are being recognized and addressed, and implementation is well under way.

Should an LEA or SEA operate under the targeted approach? The options at the SEA level may be limited in view of the chief state officers' commitment to career education, and the USOE commissioner's intent to support a strong SEA delivery system, under the leadership of a designated career education consultant. More options may be open to the LEA, but in the final analysis, organizational structure and available resources will probably determine whether or not an individual can be targeted for career education leadership. A fair speculation would be that as a LEA moves toward an integrated approach, it probably will need first to demonstrate successful functioning under a targeted approach. In fact, this approach could be considered part of the rites toward puberty, if not, maturity in education. In this regard, we are reminded of Hoyt's remarks: "When the complete integration of career education concepts into the total fabric of all American education exists, the result will be abandonment of the term 'career education' and adoption of some other major direction for educational change" (Hoyt, 1974, p. 20).

The Integrated Approach

What more is possible? Each of the "multiples" of career education has defined its contribution; the designated overall leader's conceptualization of the whole represents what which is to be accomplished to reach valid and valued goals; and the significant others have been recognized and invited to participate. The remaining concerns deal with the following: (1) before the business of career education will be complete, major internal changes must take place on the part of both the academic and vocational educators of today; (2) before going beyond the formal education system, it will be necessary to attain integration of efforts within our educational system.

The integrated approach implies basic changes in all levels of the educational enterprise. Clearly, in this respect, a more effective effort is necessary. Almost all of the major education associations and several other national organizations addressed this concern in a single voice: "We ask school leaders to invite business, labor, professional and community leaders, including women's organizations and minority groups, to work with them in helping our young people to recognize and utilize relationships between education and work" (U.S. Chamber of Commerce, 1975, p. 1). A similar point was made by Hughes speaking for the Career Education Committee of the National Advisory Council on Vocational Education: "Career education as a universal necessity (requires) the integration of all educational resources" (Hughes letter, 1974). Hoyt's message, as suggested, earlier, chides vocational education into considering a whole new way of thinking; concurrently, he recognizes vocational education as only one of the parents of career education—academic education holds the other legitimate right.

Through the admittedly idealistic integrated approach, the overall priority for career education is set by the combined needs of society, learners, and the educational implementation team. The whole approach is people-centered and goal-oriented. Communications are easy and open; the various subsystems are interdependent and share many common objectives. Staff development plays a critical role; emerging leadership opportunities are continuously being created.

An example of the emerging leadership concept is the career education leadership team, a task-force-type group representative of the "multiples" of career education as well as the levels and settings for delivery. The term "leadership team" is used to signify the collaborative nature of decision making. To the extent that a new structure is formed, the integrated approach is similar to the targeted approach, however, the leadership team represents an entire operational unit having responsibility for program stimulation, nurturing, delivery, and evaluation. Therein, several organic organizational forms exist.

Ideally, the integrated approach has implications for both SEAs and LEAs, but is is obvious that only those organizations having a future orientation will feel comfortable moving in this direction. It is a situation in which only generalized central control exists, usually in conjunction with a comprehensive plan resulting from participatory development. The people in this approach are self actualized and can easily "let loose" and enter into new, productive, collaborative relationships.

Conclusion

The extent to which local and state educational agencies can move toward change as operationalized in career education is yet to be effectively measured. What is known relates more within the descriptive than the prescriptive realm, and the identification of multiple leadership roles designated to support career education. What remains is the need for transforming these varied inputs to impact on educational change.

At a time when both clients and constituents of the educational system, as well as all members of the educational team, are "wanting a piece of the action," leadership for educational reform becomes an entirely new type of activity. To offer recommendations from among alternative delivery systems would be inappropriate without knowing the variables operating in specific educational settings. One can, however, suggest giving further consideration to a collaborative and integrated efforts which have great potential for stimuating and effecting educational change.

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CHAPTER 4

Community Involvement In Education

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THE ISSUE ADDRESSED IN THIS PAPER is that of developing effective relationships between the schools and the community. First, the need for community involvement is explicated and the goals of community involvement are then outlined. A theoretical basis for community involvement is next presented, followed by the presentation of a model of home-school-community relationships. The components of this model are examined in detail and suggestions made for improving home-school-community relationships through the use of this model.

The relationship between the learning process and the environment is then examined and methods for investigating the environment are presented. Throughout this chapter relevant research is quoted to support the ideas presented. A section specifically related to research follows the discussion of involvement and participation, including a study of community involvement in Wisconsin schools. A model of the processes included in community involvement is then presented. The chapter concludes with some recommendations for improving the nature and extent of community involvement in education.

The Need for Community Involvement

Education, to be liberal, must serve one's work and leisure, and help the individual to reach toward levels of excellence and accomplishment. Education must treat the individual as the end and not a means to be used by others or by the state. It naturally follows that in the United States, where there is respect for freedom, we should concede education as essentially liberal for all persons. All of the components of education should be directed toward the end of each person living well, rather than to the end of simply earning a living.

People have the inherent need to contribute productively, including the need for self-satisfaction and self-fullfillment which are direct results of the quality of one's accomplishment. Thus, a basic goal of education is to help students prepare for a life which goes beyond the narrow aspects of work to include one's total lifestyle, including leisure time and enrichment. The term "work" too many times is associated with specific jobs or skills and, thus, in a way detracts from other worthy goals of education. It should rather incorporate the idea of productive learning as the all-inclusive mission of our educational system.

A major problem in education today is the lack of mutual understanding and support between the schools and the community. We need to establish appropriate linkages between the schools and the various aspects of the community, i.e., business, industry, labor, and other community groups and individual citizens. We cannot feel a part of the community if our educational system continually sets us apart from it. Schools are not the only places where students learn. Teachers are not the only ones who teach. Thus, there exists a strong rationale for a highly involved community citizenry in education. Moreover, the need exists for a school district organization or delivery system which involves and includes the community. Educators have often made the mistake of furthering particular causes or directions without involving the leadership of the community in identifying overall community goals. An uninformed public contributes to the school's ineffectiveness in serving the best educational interests of students. In extreme cases, it can also create adversary relationships and conflicts which undermine and retard the growth of the community as well as its schools.

Community involvement is both a cause and a result of a well-informed and responsibly-led community. Involvement also influences directly the expectations held by the community for the schools. People are beginning to expect firm and visible leadership from educators both to unify the community and to help solve its many problems. Citizens are often guilty of not voicing in precise terms their discontent or dissatisfaction with the educational system. Likewise, educational leaders are sometimes guilty of not soliciting public opinion or involving the public in determining and communicating its educational expectations and assigning priorities to them.

The Goals of Community Involvement

The following are three major goals of community involvement programs in the schools (Bowles and Fruth, 1975):

1. To make the school staff more aware of and responsive to the educational expectations and available resources of the community, parents, and students
2. To make the community, parents, and students more aware of and responsive to the requisites of the school's instructional program

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3. To identify and utilize ways and means of actively involving both staff and community in planning implementing, refining, and evaluating the school programs.

To this list may be added the following aims which are also important in developing a school community relations program:

1. To aid students in seeing meaningful relationships between what they are being asked to learn in school and what they will do when they leave the formal education system.
2. To maintain balance in the school's program so that all groups, minority or majority, receive fair and equitable treatment.
3. To help the school respond effectively to changes in the larger society.
4. To foster in students positive attitudes toward the community, and, conversely, positive community attitudes toward students—in effect, bridging the "generation gap."
5. To expand the concept of the school from that of a place or building to that of a total educational process.
6. To insure that the total community is given an adequate opportunity to contribute to the formulation of educational policy.
7. To help students identify meaningfully with their local community.
8. To encourage children's development of self awareness; exploration of their own potentialities, interests, and talents.
9. To assist parents in developing levels of information and understanding necessary to listen and respond to their children and help them with their growth and development.
10. To bring about a realistic connection between academic skills and the skills needed to hold a job and function effectively in society.
11. To introduce children to the tremendously expanding variety of jobs and skills that exist.
12. To provide students with opportunities to gain knowledge, skills, and insights through observation and work experience.
13. To help individuals be of service in various volunteer instructional activities.
14. To help specialists in the community to work with children and youth who have special learning problems, handicaps, emotional, environmental, or other problems.
15. To enhance community leadership and provide the vehicle for accomplishing common goals and objectives.
16. To foster responsible, cooperative home-school-community relationships, both in furthering positive goals and in correcting unacceptable student behavior.
17. To enhance community understanding of the school's curriculum in the affective and and psychomotor domains, as well as in the cognitive domain.
18. To bring about a public appreciation of innovation and research in the schools.
19. To foster public awareness of the importance of a school district's statement of philosophy, goals, objectives, processes, and outcomes.
20. To provide meaningful opportunities for community involvement in the decision-making process.

Theoretical Bases for Community Involvement

Kim (1975) has suggested three approaches to involving the community in education: (a) the administrative-functional approach, (b) the public-participatory approach, and (c) the political configuration approach.

The administrative-functional approach to community involvement emphasizes information exchanges between the school and the environment — specifically the home and the community. The main concern is that of informing the community of all aspects of the school's program and developing purposeful two-way interaction between the school and the community. The aims are (a) for the school to inform the community of the school's aims and programs, (b) for the community to give return information to the schools, and (c) to encourage direct interaction. The rationale for this approach is the right of the community to be informed of the activities performed by the public schools. This is seen to be a basic right in a democratic society. The principles of information flow, value orientations, and community power structure also from part of the rationale for this approach.

The public-participatory approach to community involvement is based on the cooperative participation of parents and citizens in various aspects of the school's program. The aim is to increase understanding of educational endeavors through participation in the program of the school. This participation is aimed at facilitating communication, goodwill and esteem, increasing awareness, promoting educational accountability and avoiding the crises which often develop due to poor communication. The principles of democratic administration of schools, developed through active community involvement in planning, developing, implementing and evaluating school programs, underlie this approach.

The political configuration approach views the school as a political sub-system of that social system which is the whole community. The emphasis is on the relationship which develops consequent to the interaction between the school system and the power structure within the community. This approach aims at ensuring community support for the schools by building on the interaction between the community power structures and the school system, assuming relevance of the educational programs to the needs of the community. Political systems theory, community power theories relating to educational policy making, and conflict theories underpin the policy-making emphasis of the political configuration approach.

A Model of Home-School-Community Relations

A basic model of home-school-community relations, by Bowles and Fruth (1975), is presented in Figure 4.1. The model includes two major dimensions: primary interaction patterns, and concepts and competencies. The primary interaction patterns are between: the child and the teacher; the home and the staff; the school community and the principal; and the district community and the administration. There may, of course, be interactions across these primary patterns.

Four concepts and competencies which must be developed to create a viable community relations program are: analysis, communication, involvement and resolution.

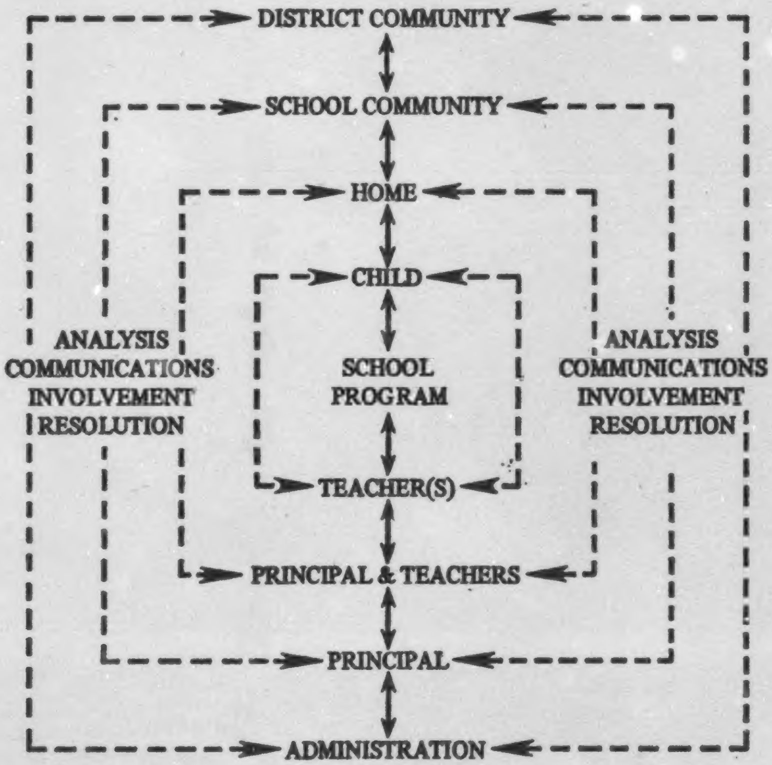
Analysis

Analysis involves identification of the issues and the issue elements concerning a specific problem or conflict area. Usually, this identification is performed by the principal or a school committee as a starting point, although members of the community may also identify problems and conflict areas. An effective school-community relations program includes an efficient means whereby concerns can be aired and dealt with appropriately.

The identification of issues needing attention may be by a systematic survey using the mails or interviewers, or by a survey of felt needs at community meetings. Such meetings may be specially convened for this purpose or opinions may be solicited at meetings of parent groups.

Another means of identifying issues involves indepth, open-ended interviews with community persons. This method provides greater depth and more detail than survey methods. Good (1966) specifies the main advantages of this technique for identifying problem areas as being the stimulus provided to both parties, the confidential rela-

Fig. 4.1 A Model of Home–School–Community Relations. (Bowles and Fruth, 1975)



tionships often established, the possibility of following up leads and clues, and the reputational technique which can be used to gain access to further respondents who may be involved. Another major advantage of the interview technique is that it can be seen as a series of circular responses, each response becoming a stimulus for another response, expanding the field of reference and thus increasing the opportunities for maximum coverage of all areas of concern. The interview not only can clarify issues but suggestions may evolve for resolution, and persons may be identified, by the above-mentioned reputational technique, who may help in solving problems.

In describing the use of in-depth interviews for the analysis of problem areas in the area of school-community relations, Bowles and Fruth (1975) described this process as follows:

> This technique possesses a number of virtues. First, it provides the opportunity for an informal, positive and non-crisis contact with community subpublics. Second, it is an effective means of communications regardless of any other objectives for which it might be used simultaneously. Third, the interviews identify the important subpublics and issues in the school community both historically and currently. Fourth, the technique can suggest mechanisms for the resolution of actual or potential conflict growing out of the issues and among the subpublics indentified during the course of the interviews. Fifth, interviews have proven to be a successful trainig ground for interpersonal communication with a variety of subpublics, using their agenda, at their designated time, and usually on their territory. Sixth, a relatively thorough analysis of an elementary school attendance area can be accomplished with perhaps twenty, and normally no more than thirty-five interviews. Finally, this technique can be executed with a minimal investment in inservice training for interviewing and analysis. Customarily, the principal, the staff and the parents can be trained for interviewing in two to three hours without a practicum. The real advantage of this technique is that with some experience, the original interviewers can train subsequent interviewers. Hence, the indepth interview technique possesses the potential for utilizing the critical concepts and competencies of analysis, communication, involvement, and resolution.

Experience has shown that relatively narrow objectives prove less fruitful than broadly defined objectives. Moreover, restrictive topics inevitably emerge as "issues" when broad-range objectives are explored, but rarely will real problems or "other" issues emerge if the topic is narrowly defined. Hence, a focus as broad as the school-community relations program will usually stimulate general concerns, as well as specific issues, such as "grading," "reading," and "discipline."

The focus on school-community relations is also a good one for the initial venture into indepth interviewing, because it normally provides easy, justifiable access to people in the school community. For example, it is easier for a principal to explain an interest in getting the opinion of various subpublics on the question of school-community relations than it is on other topics. Moreover, a focus on home-school-community relations is often perceived as an effort, in itself, to improve relationships.

When conducting interviews, the following list of "Dos" and "Don'ts" should be reviewed.

- Do maintain and record the time reference of the respondent. Try to get times, dates, years. If not specifics, obtain befores and afters. Don't let any issue pass in the interview without placing it in a time reference. Sometimes it will be necessary to interrupt the respondent for this information.
- Do obtain names. There should not be a single pronoun used without the interviewer noting the referent or securing the specific name. This includes the generic "they" as well.
- Do operationalize all issues into their elements. For example, when discipline is brought up by the respondent, the interviewer needs to say, "What do you mean by discipline?" Then ask for illustrations.
- Do explore as fully as possible the attitudes of all people and groups toward the issues. Do not let either people or issues become disassociated from each other. When people are mentioned, encourage the respondent to associate them with issues, and vice versa.
- Do save the interviewer's favorite people, groups, and issues for the checklist at the end. Let the respondents nominate their agenda of people and issues; don't force the respondents to react to the interviewer's agenda.
- Don't use a tape recorder.
- Don't exchange information obtained in one interview with the respondent in another interview, even if asked.
- Do answer all inquiries about the interviewer, the objectives, and how the data will be used; don't be so verbose and elaborate that the interviewer raises more questions and "red flags" than can be answered.
- Don't intervene in the philosophical, sentimental, or value systems of the respondent by either disagreeing or agreeing.
- Do reconstruct the entire interview verbatim as soon after the interview as possible. Don't delay putting scratch notes into decipherable order.

The persons concerned with a particular issue may be identified by a role position technique (Bowles and Fruth, 1975, p. 18), in which participants are identified from their formal roles or positions in the community. One disadvantage with this procedure is that it assumes that a person holding a particular role necessarily has interest, influence in, and commitment to, problems relating to that role position. Such may not be the case. The reputational technique is another effective method of identifying participants. In this process the interviewer asks the respondent to name other persons who may be interested and/or influential in relation to the issue under consideration.

The final step in community analysis is to associate the identified participants and influentials with the relevant problem areas of issues so that steps can be taken to improve communication.

Communication

It is sometimes difficult to distinguish between communications that are mainly concerned with community relations and those that are primarily public relations efforts. Communication is the main element being discussed here and public relations activities are only a sub-set of this process. Effective communication between the school and the community can be seen as a process which will benefit both parties, whereas a public relations program is usually a publicity or "selling" activity on the part of the school.

The following are the major purposes for school-community communication as presented by Sumption and Engstrom (1966):

To provide people with information about their schools.

To provide the school with information about the community.

To develop a commonality of purpose, effort, and achievement.

To keep the people informed of new developments and trends in education.

To develop, through a continuous exchange of information, an atmosphere of cooperation between the school and other social institutions of the community.

To secure an unofficial but frank evaluation of the program of the school in terms of educatonal needs as the community sees them.

Saxe (1975) refers to communication as "transmitting and receiving informaion, attitudes and ideas. It matters greatly whether the message intended by the sender was the same one preceived by the receiver, but even if this is not the case, we shall maintain that something has been communicated."

Obviously, there is a great need for improved community relations in education. In this regard, Cronin and Hailer (1973) state, "Community relations cannot be improved without frank recognition that the problems of the past few years are based partly on the failure of school people and parents to listen to each other."

It is important to examine the public's perception of the communications that presently exist between the home and the shcool. In a study of the forms of communication used at the elementary school level Sloan (1973) found that the school newspaper and child reporting were the most frequently reported forms of communication, followed by parent-teacher conferences (see Table 4.1). Sloan also asked parents about the ways in which they would prefer to learn about school and Table 4.2 gives the results of this survey.

It is pertinent to note that not all parents are equally interested in education and those that are interested may desire to learn of the school's activities in greatly varying degrees of intensity. One may hear principals complaining of "apathy" on the part of parents because of the small turnout at PTA meetings. However what proportion of parents is needed to be representative? One would never expect all parents to be present—in fact, such an attendance would render PTA meetings impossible to handle and often impossible to accommodate. What then is a suitable or acceptable size for a parent group? Is it sufficient to state that the dozen or so who may turn up for a meeting are the only ones interested?

In a series of interviews, Menkin (1969) studied the desires of citizens concerning participa-

TABLE 4.1 WAYS PARENTS LEARN ABOUT SCHOOL (N = 286)

Communication Channel	*Number of Responses*	*Percent*
My child tells me	272	95
Neighbor children tell me	57	20
Conversations with adult friends and neighbors	160	56
School newspaper	280	98
Classroom newsletters	104	36
Teacher notes or phone calls	129	45
Parent-teacher conferences	237	82
Report cards	196	68
Notes or calls to school	101	35
Personal visits to school	128	45
Classroom visits or observations	111	39
PTA meetings	151	53
Other	7	2

Source: Bonnie Sloan, "School-Home Communications" (Educational Specialist's thesis, University of Toledo, 1973), p. 39.

TABLE 4.2 ACTUAL AND PREFERRED WAYS OF LEARNING ABOUT SCHOOL

Channel	*Actual Rank*	*Preferred Rank*	*Difference*
School newspaper	1	1	0
Parent-teacher conference	3	2	1
PTA	6	3	3
My child tells me	2	4	2
Teacher note or phone call	7	5	2

Source: Sloan 1973, p. 40.

tion in education. He concluded the "citizens do not want to run the schools; they only want to be consulted and respected. Citizens want to be accepted as people with ideas and resources to be contributed." This attitude is supported by a comment received by Sloan (1973, p. 49) when a parent, upon being asked how much she wanted to participate in school affairs, replied, "I am not a teacher. Therefore I believe that I should leave teaching to those who are qualified. The size of the classes and subjects taught should be left to educators. But discipline problems and learning problems are business of both teachers and parents." In further investigating representiveness of parent groups, Jennings and Zeigler (1969) found that only 21 per cent of parents responded that they had some participation in school activities in the last three years.

Various concepts of communication are examined by Bowles and Fruth (1975, p. 23) and discussed under the headings of: one-way/two-way communication, communication style, vehicles for communication, conditions for effective communication and quality of the message. Some of these areas will be discussed here.

One-way/Two-way Communication. Various researchers have favored different vehicles of communication. Hunter (1967) contended that "communication is the responsibility of every school—to send home daily through the medium of the learner a positive state-of-the-learner message." This is a form of one-way communication which does not easily allow for two-way participation. Another form is report cards and in this case with the proliferation of reporting methods available, it is fairly obvious that the aim of unambiguous communication is rarely achieved. Notes from parents, some of which reach the parent and some of which end up as a soggy mess in the washing machine, are usually about problems at school and are one of the worst examples of the limitations of one-way communication. A rare form of one-way communication is the note sent home to compliment a child or to encourage a student with praise. Bulletins and newsletters are often badly composed and sometimes poorly duplicated so that the message is totally lost. One may, however, list the advantages of one-way communication as being ease of control, speed, economy of operation and orderliness.

Most educators agree that two-way communication between the school and community is supperior to a one-way passage of information, characteristically from school to home. Two-way communication appears to be more accurate, better understood, and generally achieving of greater satisfaction. Concerning communication style, it is well to remember that the only contact between parents and the school in many cases is when a problem arises, in which case a call from the school means bad news! Thus, positive communication is essential, at least at the initial stages of each contact. Two-way communication can be in the form of home visits, parent visits to the school or parent-teacher conferences.

Home Visits. Fitzwater (1954) states that "good teachers find ways of helping parents to be active partners in the education of their children, and interested parents find opportunities to cooperate with teachers. The visits of teachers to the homes of pupils are important aspects of the cooperative program." Where home visits are arranged, times and dates must be at the option of the parent and such visits should be properly organized and preceded by a phone call. Interaction must begin on a positive note and a condescending tone must be avoided.

Parent Visits to the School. One of the least effective ways to attempt to arrange parent visits to a school is to send home a list of two or three alternative times, all within working hours, during which the parent may visit the school. Usually an answer is required as to whether the parent will or will not attend (one should avoid the use of "will not" rather than "cannot"). If the parent declines, then disinterest is sometimes assumed, often incorrectly. Parents should nominate the time and duration of such visits, otherwise any subsequent community involvement is rather superficial, depending as it does, on the availability and convenience of only one party to the activity.

Parent-Teacher Conferences. Becker (1953) pointed out that parents are usually outside the hierarchy of education and when they are invited to the school they can be seen as a threat:

> To the teacher, then, the parent appears as an unpredictable and uncontrollable element, as a force which endangers and may even destroy the existing authority system over which she has some measure of control. For this reason teachers (and principals who abide by their expectations) carry on an essentially secretive relationship vis-à-vis parents and the community, trying to prevent an event which will give these groups a permanent place of authority in the school situation.

Also it must be remembered that merely holding a conference in a classroom is, in itself, the imposition of what may be a threatening or uncomfortable situation onto the parent. It is "home ground" for the teacher, but "strange territory" many years removed for most parents. Some teachers still expect parents to occupy children's desks, others do not allow for any confidentiality, expecting long lines of parents to wait in a corridor for their turn in a situation where voices can be heard from a long way off.

Teachers who consider themselves objective in their judgments of children expect parents to be objective about their own children, and this is expecting too much. Handling parent interviews is a difficult and exacting task and some form of training would often help teachers. Teachers often are not trained for this task, yet the survey research experts who conduct interviews on a professional level demand rigid training. The parent-teacher conference is often a difficult experience for both sides. Usually, no consideration is given to the necessary preparation for such occasions and this is a contributing factor to the lack of understanding that occurs between the school and the community in some areas.

Such conferences must be planned and have a specific aim, otherwise social chatting may ensue with no resulting benefit to anyone. An agenda is helpful and mutually agreed upon objectives save a great deal of time. The conference should rely upon two-way communication rather than becoming a verbal report from teacher to parent. It is sometimes helpful for both parents and for more than one teacher to be present, and the attendance of the student concerned is desirable on some occasions. It is essential that the staff member concerned should have comprehensive data and information pertaining to the child readily available, and that this information is up-to-date and, if possible, written up in a manner comprehensible to the teacher.

Freqency of Contact. In conducting research concerning communication between schools and the public, Correll (1963) investigated the frequency of parent-initiated contact with various categories of school personnel. He found a strong relationship between frequency of contact and social level of parents but also an interesting bias among parents toward contacting school personnel at a level in the school similar to their own social level. Parents from lower socioeconomic levels sought out custodians while parents from the upper class professional level contacted board members. In such a process, with the consequent fragmented dissemination of information, there is a little chance of a unified approach to problem solving, and much of the information is lost at various levels in the communication chain, some of it probably goes no further than the immediate person contacted and the parent wonders why the problem is not solved.

To remove some of the apprehension and threat of formal meetings some principals advocate "Kaffee Klatches" in which administrators and/or teachers meet informally to talk and discuss matters of mutual interest with small groups of parents. Often items of concern can be introduced at such a meeting which will form the basis for other, more formal interaction at a later date.

Tables 4.3 and 4.4 prepared by Sloan (1973) show parents' judgments of effective and ineffective channels of home-school communication.

The Media in School Community Relations. Whether by desire or not, the school administrator will have dealings with the professional press. This will occur whether the school has an effective community relations program or none at all.

In a survey of eleven metropolitan and local newspapers to discover the amount of school related news reported during the calendar year 1964 (Suburban Area Study Group 1966), the findings showed: (1) the largest volume of school news concerns "peripheral" topics rather than those reflecting the "State of the Art" (basic issues in education); (2) variety and high volume of school news characterizes some newspapers; others present very limited coverage; (3) some papers have a higher total impact per news item than others by virtue of: (a) news selection procedure, (b) volume of news, and (c) relative circulation; (4) emphasis in the dailies appears to be on special or crisis situations (school budget, Board of Education elections, etc.); and (5) the largest topic coverage was news about students (sports, activities, honors, etc.)

TABLE 4.3 HOME-SCHOOL COMMUNICATION CHANNELS CONSIDERED VERY EFFECTIVE BY PARENTS

Communication Channel	*Number Rating Very Effective*	*Rank Order*
Direct approach by phone or in person	227	2
Parent-teacher conferences	261	1
Periodically scheduled open forum	70	5
PTA	167	3
Representative parent council	35	6
Surveys done by the school	92	4
Other	5	

Source: Sloan 1973, p. 43.

TABLE 4.4 HOME-SCHOOL COMMUNICATION CHANNELS CONSIDERED LEAST EFFECTIVE BY PARENTS

Communication Channel	*Number Rating Least Effective*	*Rank Order*
Direct approach by phone or in person	26	5
Parent-teacher conferences	11	6
Periodically scheduled open forum	128	2
PTA	64	4
Representative parent council	142	1
Surveys done by the school	112	3
Other	9	

Source: Sloan 1973, p. 45.

In another study, Gordon (1968) analyzed fifty consecutive issues of twelve different newspapers in eleven states and found that (1) school news comprised 1.75 per cent of all news; (2) notwithstanding geographic difference there was a marked similarity in the relative coverage of school news (r = .79); (3) school sports received 52 per cent of all school news coverage and constituted 42 per cent of the total number of articles; (4) all school news, less sports news, was equal to 0.84 per cent of all news; and (5) school news less news of both sports and extracurricular activities was equal to 0.72 per cent of all news. Based on these findings, the author comments that it is highly doubtful that the citizens are being adequately informed of the activities, programs, and goals of the schools. Many citizens secure much of their information about schools from fellow citizens while local newspapers influence others. It is shown that, in most areas, the major proportion of school news consists of sports, while changes in school programs warrant scant coverage.

Gambold (1963) takes an interesting attitude toward this.

> The public just doesn't know what our schools are doing, curriculum wise. Sometimes, however, I wonder if the public really wants to know. It's difficult to persuade a newspaper editor to feature a story on study on teaching methods. The curriculum, like peace, seldom makes the headlines. The child and the classroom teacher are the great central figures in education. In general, they are the most neglected in educational reporting.

It is well for the administrator to remark that the professional newspaper reporter may note casual remarks not meant for publication and may misinterpret other remarks. It is often suggested to educators that they request a copy of an article before it is submitted for printing. This, unfortunately, is usually a futile request. Educators must realize that the American Constitution guarantees the freedom of the press and as Saxe (1975, p. 189) states, "When educators internalize the attitude that the press is present as a basic right and not an sufference or with the permission of educators, the relationship should improve. When approached from this perspective, few reporters will not give careful attention to the suggestion of the amateur PR-educator."

One good method to ensure that press photos are of a higher standard is for the school to provide well produced photographs with press releases. This involves some expense and the availability of a good photographer, neither of which are large problems if the school has an effective community relations program. It is also necessary to invite the press to all major school activities and not to be surprised if they turn up on other occasions also. Providing press releases and photography regularity, without waiting for a request can also be very helpful in engendering a cooperative attitude with the newspapers.

Local radio and television stations must also be included. Generally, the above suggestions apply to television reporters equally as they apply to newspaper staff. Many schools now produce local closed circuit television program and video films for their own use and in this way an effective relationship can often be established with local television producers through visits, workshops, etc.

The reputational technique for identifying influentials in the community is mentioned earlier in this chapter, but Longstreth (1966) pointed out the importance of representatives of the media in this process:

> The successful professional educator must do more than merely recognize that power structures exist. He/she must "be able to identify accurately the influential leaders in his/her community." Very often the educator is advised to 'listen' but seldom is he advised as to whom he should listen. Study of the materials collected in two power structure research surveys at the University of Florida indicates that if the educator wishes to confer with a single individual in his effort to discover the power structure, he probably should listen to someone from one of the news media (newspaper editor, radio or television executive). Indications are that neither educators nor persons actively engaged in political endeavor rank high in their ability to identify the influentials of their communities.

The quality of the message is also important and each item communicated should be considered as a product of the school, an advertisement of the quality of education produced in the school, and a measure of the concern held by the school for the community.

Involvement and Participation

When writing on community involvement, Gittell (1974) stated:

> Knowledge is a form of power, and arrangements must be made to provide citizens with full information on all of the issues if community participation is to be effective. The self-fulfilling failure model for community participation provides no technical resources, limits information flow, and keeps the governance structure simple. Public apathy and incompetence can then be blamed for failure.

Involvement can be interpreted as the acceptance of a certain amount of responsibility and participation can be defined as an active form of involvement. Usually one becomes involved, sometimes involuntarily, well before active participation is required. The terms participation and involvement will be used interchangeably in this section.

The model of home-school-community relationships suggests that the active participation of several sub-publics in the aspects of analysis, communication, and conflict resolution will result in improved instructional programs. This presents the problem of representativeness in community groups. Where opinions and judgments are solicited from such groups, to what extent do any conclusions reached represent the whole community?

Sussman and Speck (1973), in a study of community-school groups in Boston, found that the groups studied were small, weak and vulnerable to internal disruption over who legitimately represents the community. With further reference to representation, Jackson (1973) in a study of citizen participation, found that upper status occupations were disproportionally represented among citizen participation groups, and that lower educational levels were under-represented. They also found that citizen participants viewed related organizations primarily as active agents of change, whereas non-participants viewed the organizations as service-providing, control agents.

These findings indicate that principals should be aware of the need for obtaining a representative group to act in an advisory capacity and also that it is necessary to realize the different views of the school which may be held by various groups within the community.

Saxe (1975, p. 178) points out:

> It is good practice for educators to be certain that citizens receive information about issues that are of great importance to them. Failure to do this will seriously endanger school-community relations. The other extreme-saturating citizens with information about which they care little-although not as harmful, should also be avoided. For these reasons, educators will need to be aware of the concerns of the community.

Some form of needs assessment concerning the interest of community members should be conducted by the school. Principals may be surprised to find that community members are interested in a number of activities which have never even been considered by the school. It may also be discovered that there are a number of community members with skills and special abilities which could be utilized in the school.

Sloan, (1973, p. 48) investigated the types of activities in which parents wish to be involved. The results (Table 4.5) point out to the educator the importance of taking care to see that there is parental input concerning areas of interest. It is important to note, however, that this table does not show the limit of parents' interests as the items were provided by the school, neither does it show the extent of parents' interests. Parents may be satisfied with the way things are at the moment in many of the areas identified and therefore they have no wish to become involved as no change is desired. From Table 4.5, it appears that parents want to be informed about all matters, but they have little desire to make decisions about technical matters. They do, however, show concern about items concerning their own children, such as clothing, discipline, and learning problems.

In discussing community participation in education, Gittell (1974) defines the concept as "a direct community involvement in decision-making." The same author speaks out strongly concerning the part that the public should play in education (Ibid., pp. 1-2).

TABLE 4.5 TYPE OF INVOLVEMENT DESIRED BY PARENTS IN SELECTED SCHOOL ACTIVITIES (N = 286)

	Type of Involvement by Percentage		
Activity	*To be informed*	*To participate in making decisions*	*No involvement of any kind*
Purchase of major school items	64	8	20
Hours of the school day	67	14	6
Safety concerns	77	16	4
Field trips	83	11	4
What subjects are taught	73	14	7
Size of classes	62	15	8
Clothing children wear to school (dress code)	60	31	4
Homework	79	12	5
Pupil evaluation (report card)	80	11	3
New programs/changes	72	16	1
Discipline, policy, and procedures	69	27	3
Lunch program	62	16	11
Learning problems of my child	62	36	.9
Other (only 14 replies)	4	.3	.3

Source: Sloan 1973, p. 48.

> The extent and character of citizen participation must be addressed in all aspects of the educational policymaking process, at all levels and in all areas of decision making. No aspect of decision making should be totally isolated from consumer or citizen inputs and accountability. Any process which excludes participation of the people who are the recipients of the service and have a direct interest in policy decisions must end up lacking in responsiveness to needs.

Parent Volunteers and Aides. Obtaining parents as volunteers in the school should never be a process where the sole aim is simply to involve parents. Where there is no real need and where the parents are not performing a useful function, failure is likely to occur. Parents must feel that they are really valuable to the school and not that they are being patronized. They should not be thrown into a problem situation that they cannot handle and, where necessary, training should be provided to ensure that the maximum benefit is obtained from the participation of these valuable assistants. It is important for everyone to realize that the volunteer is participating on the school's terms and is bound by the policies and objectives of the school. In this regard, it is essential to choose volunteers carefully because it is very difficult to "dismiss" a volunteer who proves to be unsuitable. Another problem is the fact that there is usually little continuity where volunteers work in a school as assistants in the instructional program, such people usually can give only limited time, are sometimes unreliable and may present a string of different assistants on consecutive days. Where no training is offered, this can often result in more of an interruption than an assistance to the classroom teacher. Parents may act as library aides, clerical aides, lunch program helpers, field trip assistants, resource persons, or instructional aides. Parents and community members have been invited in some places to share their special skills, experiences in travel and professional backgrounds with students, thus providing a dynamic experience for all concerned. In addition to parent volunteers or aides, participation can take the form of parent advisory committees, homework supervision, room mother programs, maintenance of audio-visual materials, sports coaching and many other activities that satisfy the particular needs of the school program.

Research on Community Participation

Research has indicated favorable results from parent participation programs. Conner (1951) studied parent participation in the public schools of San Diego, California. The program examined consisted of a two hour per week classroom observation period followed by discussion. Two thousand elementary school children were tested on achievement tests and significantly greater gains were found in achievement in regular subject matters by the experimental group when compared to the control group. In addition, a large number of the parents showed greater willingness to cooperate with the school in a variety of activities after the program was completed.

In investigating parent participation in a Head Start Program, Willman (1969) investigated the effects of such participation on the academic achievement of students. The study revealed that those parents who participated in planning, implementing, and evaluating the program cared more about the program and consequently communicated this concern and also more favorable educational aspiration for achievement to their children. When tested on the Metropolitan Reading Readiness Sest, the children of these parents showed significant gains over children of nonparticipating parents in the area of measures of future academic achievement.

Cloward and Jones (1963) in a study of educational attitudes and participation reported that the involvement of parents in school affairs was positively correlated with their evaluation of the importance of education. It is, however, difficult to identify this level of evaluation as a cause, or an effect of participation.

Since 1971, substantial monies have been allocated to implement the concept of career education in the nation's schools. A primary component of career education is the identification, organization, and utilization of community resources. In Wisconsin, several educational agencies, including K-12 school districts, have initiated career education programs.

In the preparation of this issue paper, a survey was distributed to local leaders of career education in Wisconsin to investigate the present degree of utilization of community involvement programs, problems encountered and projected future needs relative to the promotion of community involvement activities.

Present Activities Related to Community Involvement

The respondents indicated the following as examples of community involvement activities being implemented in their programs.

1. Resource speakers
2. Field trips for students, teachers, and administrators
3. Advisory committee
4. Mini-courses
5. Career days/nights
6. Business-education coordinating councils
7. Local community resource directory
8. Job placement services
9. Donation of materials for interest centers
10. Cooperative work experiences
11. Surveys of parent and student attitudes.
12. Ninth grade parent orientation groups

In general, the respondents felt that the tasks enumerated were valid components of a community involvement program. However, as may be seen in Table 4.6, the present degree of implementation of these tasks in the local schools varied widely.

Effects of Community Involvement

Respondents indicated that community involvement had effected change in the school's functioning in many ways. The respondents identified the following effects on the curriculum as a result of community involvement activities: revision of junior and senior high school courses to a greater emphasis of career exploration and guidance, greater utilization of resource people in the classroom, development of more and varied experiences to view occupational models, alteration of graduation requirements to include volunteer and work experiences, development of semester courses, greater articulations with postsecondary programs, and an increased emphasis of the affective domain in course content.

In addition, several effects upon teachers and counselors were noted by the respondents. These included: an increase in the integration of community into educational programs, a greater infusion of work world illustrations, a greater staff awareness of student career needs, an increase in the interaction of teachers and counselors, and a greater staff awareness of potential community resources.

TABLE 4.6

DEGREE OF IMPLEMENTATION AND VALUE OF COMMUNITY INVOLVEMENT ACTIVITIES

Present Degree of Implementation					*TASK*	*Value as a Task to Implement Community Involvement in Career Education*				
High 4	Average 3	Low 2	None 1	Undecided 0		High 4	Average 3	Low 2	None 1	Undecided 0
					1. Needs — Assessment					
7	21	5	0	0	1.1 Career Education Total Program	21	9	3	0	0
5	20	8	0	0	1.2 Community Involvement Component	19	12	2	0	0
13	10	9	1	0	1.3 Surveyed Students	19	10	2	1	1
12	15	5	1	0	1.4 Surveyed Staff	17	13	0	2	1
9	10	11	3	0	1.5 Surveyed Parents and Community	16	16	0	0	1
13	16	5	0	0	2. Developed a Definition of Career Education	17	10	5	1	0
7	12	10	4	0	3. Developed a Definition of Community Involvement in Career Education	15	12	4	0	0
13	11	8	1	0	4. Developed a local plan for career education	22	8	3	0	0
8	9	13	3	0	5. Developed a local plan for community involvement	18	11	3	0	0
5	13	9	5	0	6. Reached a consensus of goals and objectives for community involvement in line with results of needs-assessment.	15	13	5	0	0
10	14	7	2	0	7. Identified Existing Community Resources to achieve goals.	18	8	7	0	0
4	10	12	7	0	8. Determined alternative approaches to community involvement programs.	18	10	4	1	0
10	13	9	1	0	9. Involved Community Members in the planning of career education/community involvement programs.	18	9	5	1	0
11	13	8	1	0	10. Informed the community of project plan for career education/community involvement.	21	12	0	0	0
					11. Implemented specific activities:					
13	10	7	3	0	11.1 Conducted local survey of career resources	22	9	2	0	0
13	8	8	4	0	11.2 Compiled local community Resources directory	24	5	4	0	0
12	11	9	1	0	11.3 Utilized community resources in classrooms	20	11	2	0	0
12	11	10	0	0	11.4 Organized visitation, field trips to community	20	9	4	0	0
18	7	3	5	0	11.5 Established advisory committees	20	10	3	0	0
15	9	7	2	0	11.6 Organized on-the-job training sites	19	7	3	2	2
9	10	7	7	0	11.7 Organized volunteer work experience sites	23	8	2	0	0
9	13	9	2	0	11.8 Established liaison with community agencies for job placement	22	8	3	0	0
7	11	12	3	0	11.9 Established information network to keep community informed	17	10	6	0	0
11	12	6	4	0	11.10 Conducted "Career Day" activities utilizing community resources	14	8	6	2	3

Present Degree of Implementation

TASK

Value as a Task to Implement Community Involvement in Career Education

High	High
Average	Average
Low	Low
None	None
Undecided	Undecided

Another type of effect of community involvement programs noted by the respondents included a greater identification of business-labor occupational resources via local surveys; a greater utilization of parents in classrooms; involvement of local PTA in program development; recasting the image of vocational education to parents as a viable learning program; and a greater awareness of the community as to the nature and intents of the educational program.

The respondents identified several specific effects on students which included: a greater awareness of career possibilities, the development of real life learning stations in the community, the perception of vocational education as a viable option, and acknowledgement of a greater need for life-career planning.

In summary, the data indicated that community involvement programs resulted in a reform and restructuring of the school's learning environment affecting the curriculum, teaching staff, administrators, school boards ,parents, and students, in many ways (See Table 4.7).

Problems in Community Involvement

Respondents in the Wisconsin study also identified several impediments to the implementation of career education and community involvement programs. Some of the problems which were common both to career education and community involvement development included the need for additional financial support, the lack of sufficient time to fully implement programs, and the need for a management information system. A list of the major implementation problems which were identified concerning career education included:

TABLE 4.7
EFFECTS OF COMMUNITY INVOLVEMENT ON THE PROGRAM OF THE SCHOOLS

Functions	*DEGREE OF CHANGE*				
	High	*Average*	*Low*	*None*	*Undecided*
1. Curriculum	8	1	7	1	0
2. Staff (Teachers, Counselors)	8	18	6	0	0
3. Administration (Superintendent, Principals, etc.)	9	10	8	5	0
4. School Board	7	19	16	0	0
5. Parents	4	10	10	3	4
6. Students	4	14	4	0	0

1. Money for implementation (retraining) needed
2. Time needed for the staff to develop community activities
3. Need for a career education coordinator, K-12
4. Too much paperwork for the money
5. Lack of resources
6. Lack of administrative support
7. Need for evaluation of effectiveness
8. Needs assessment should be done
9. Restrictive communication channels
10. Resistance to change

The major problems which were identified concerning community involvement included:

1. Money needed for field trips
2. Difficult to "get to" parents
3. Parents are unsure of their role
4. Lack of time to meet
5. Paraprofessionals needed
6. Time needed to build communication links with community
7. School-community councils needed
8. Need better links of community involvement to school program.

Desired Assistance From DPI

Respondents also stressed that the continued leadership of the DPI is critical to further development of career education and community involvement programs. The specific areas of assistance identified by the respondents are enumerated in Table 4.8.

The research outlined previously and the information now available would appear to pave the way for the further development of programs in community involvement. Community involvement is not new and one of the earliest forms of organized participatory bodies involved in education was the National Congress of Mothers founded in 1897. This became the Parent-Teacher Association in 1908 and in 1924 it was renamed the National Congress of Parents and Teachers. The organization of the National Citizens Commission for the Public Schools and the subsequent development of local citizen committees is another step towards greater community involvement in education.

TABLE 4.8
TYPE OF ASSISTANCE BY DPI NEEDED IN COMMUNITY DEVELOPMENT PROGRAMS

Type of Assistance to be Provided by DPI	*DEGREE OF NEED*				
	High	*Average*	*Low*	*None*	*Undecided*
1. Disseminating guidelines relating to the implementation of a school needs-assessment.	12	12	4	4	0
2. Disseminating a list of effective techniques to promote community involvement.	22	10	0	0	0
3. Disseminating a list of local district, agency staff who have developed effective community involvement programs.	16	12	2	2	0
4. Developing workshops in community involvement for:					
4.1 Administrators	22	4	3	3	0
4.2 Classroom teachers	18	10	4	0	0
4.3 School counselors	22	5	5	0	0
5. Conduct a state assessment of community involvement needs	6	11	9	6	0
6. Develop state plan for career education	14	9	6	3	0
7. Develop a state career education task force	14	9	7	2	0
8. Provide state monies to support local efforts	26	3	3	0	0

The Learning Process and the Environment

One of the most difficult, challenging, and exciting responsibilities for educators is that of effectively and efficiently integrating the learning process with the learning environment. Whether the learning environment is a classroom, a school, a school system, or a community, the learning process remains a personal and human experience and therefore the effective interaction of each individual with his/her surroundings must become one of the objectives of an efficient and productive educational program.

In an attempt to approach the problem of developing a useful model for community involvement it is necessary to formalize a methodology for examining the concept of environment. One main problem in examining the relationship between an educational institution and the environment is that the environmental contexts in which schools exist are themselves changing at an increasing rate and towards increasing complexity, and thus the characteristics of organizational environments demand consideration for their own sake. The Bowles and Fruth model, previously outlined, includes a section on analysis which is mainly used as a problem solving approach.

Emery and Trist (1965) use a systems approach to consider the analysis of the environment in relation to any organization, not necessarily in a problem solving situation. They consider that any comprehensive understanding of an organization and its environment requires some knowledge of the area of internal interdependencies, or processes within the organization, the area of transactional interdependencies between the environment and the organization, and the area of interdependencies within the environment itself. These authors identified four types of causal texture within environments: (1) the placid, randomized environment in which goals and noxiants are relatively unchanging in themselves and randomly distributed; here there is little connection between the environmental parts and the optimal strategy is just the simple tactic of attempting to do one's best on a local basis. (2) the placid, clustered environment which is characterized in terms of clustering; goals and noxiants are not randomly distributed but hang together in certain ways. Survival is a problem because there is an attempt to deal tactically with each environmental variance as it occurs. (3) the disturbed-reactive environment, consisting of a clustered environment in which there is more than one system of the same kind; here operations performed must take into account tactical initiatives and calculated reactions by the other systems. Thus flexibility is required, necessitating a certain amount of decentralization. (4) turbulent fields, dynamic processes due to the complexity and multiple character of casual interconnections of the component organization. These dynamic field forces arise due to growth caused by the development of type 3 (above). Deepening interdependence between the other facets of the society and increasing reliance on research and development relate to the need to meet competitive challenge in this type of environment.

The educational world of today, together with the surrounding environment, would probably be classified under the fourth heading above and Emery and Trist provide a solution for organizational stability within this situation. "There are some indications of a solution that may have general significance for these environments. This is the emergence of values that have overriding significance for all members of the field" (Ibid., p. 53). The values referred to here are social values that make it possible to deal with persisting areas of relevant uncertainty.

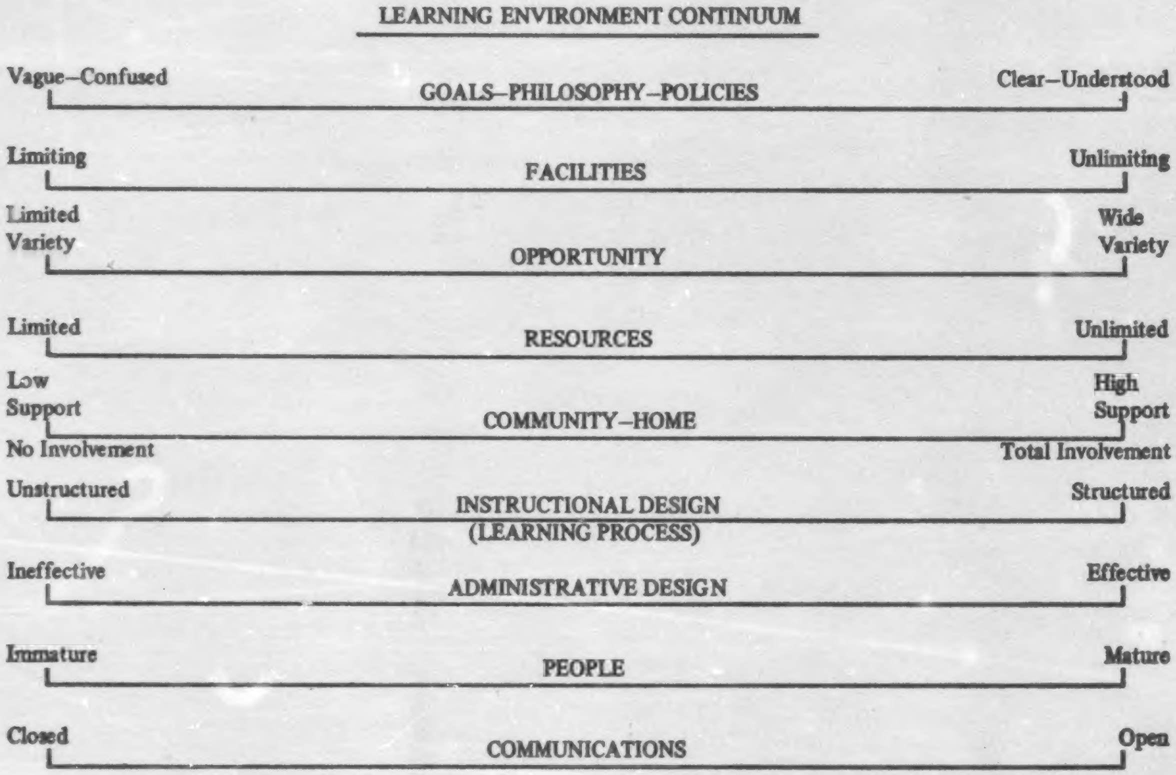
Such a conceptual approach strengthens the need for useful interaction between the school and the community to attempt to approach a level of congruence in value orientation as a basis for community involvement in the affairs of education.

Another approach is to conceptualize the environment as a variety of continua (see Figure 4.2). The continua portrayed in this Figure can be considered as being present in varying degrees in any learning situation. Admittedly the simplistic presentation, which obviously over-simplifies the bad-good scale, detracts from the usefulness of the figure. However, these continua provide one way of examining a learning situation, and developing an assessment of the type of interaction that is exemplified by the interplay of the environment with the various facets of the learning situation.

In a practical situation an assessment of these continua can be made as a prelude to the development of a viable program of community involvement. The method of initiating such an assessment could be by the use of a group of parents, teachers and community members to obtain the original assessments of the position of the various components of the figure along each continuum. It would be a damaging but very easy early pitfall to ask teachers only to make the first assessment and, in so doing, to denigrate the very philosophy of community involvement that is being promulgated. The assessment group should include participants from all the designated areas of involvement: parents, teachers, community leaders, local businessmen, board members, etc.

One very effective methodology which could be used in this assessment is the Delbecq Nominal Group Technique (Delbecq and Van DeVen, 1971), which is an excellent means of identifying group areas of consensus. In using this method,

Fig. 4.2 Learning Environment Continuum


LEARNING ENVIRONMENT CONTINUUM
Vague–Confused
GOALS–PHILOSOPHY–POLICIES
Clear–Understood
Limiting
FACILITIES
Unlimiting
Limited Variety
OPPORTUNITY
Wide Variety
Limited
RESOURCES
Unlimited
Low Support
COMMUNITY–HOME
High Support
No Involvement
Total Involvement
Unstructured
INSTRUCTIONAL DESIGN (LEARNING PROCESS)
Structured
Ineffective
ADMINISTRATIVE DESIGN
Effective
Immature
PEOPLE
Mature
Closed
COMMUNICATIONS
Open

the group is asked first to nominate their perception of the goals of the school, these are listed, and voting establishes areas of agreement. The group's perceptions of the school's goals are then either assessed for clarity and conformity and/or compared to the goals as outlined by the administration, to assess clarity or confusion in the community's interpretations of the goals of the school and thus a place on the relative continuum is identified. The same process would be repeated for philosophy and policy, for areas such as facilities, resources, etc., the group can be asked to list the available and then come to an agreement as to the proper place of the relevant item along the continua.

It must be remembered that this process is not being practiced as a form of evaluation of the school or its program, but simply to involve the community cooperatively with the school staff in an activity which will, hopefully, provide a useful starting point for the development of a viable program of community involvement. This, then, is a means whereby most of the relevant facets of the environment are identified and assessed by those people who should be involved in the life and workings of the school. Participation in this process achieves a double purpose: First, areas of concern are highlighted, and second, the involvement of the community is already started at the level of initial analysis, where effective participation should commence.

A Process Model of Community Involvement

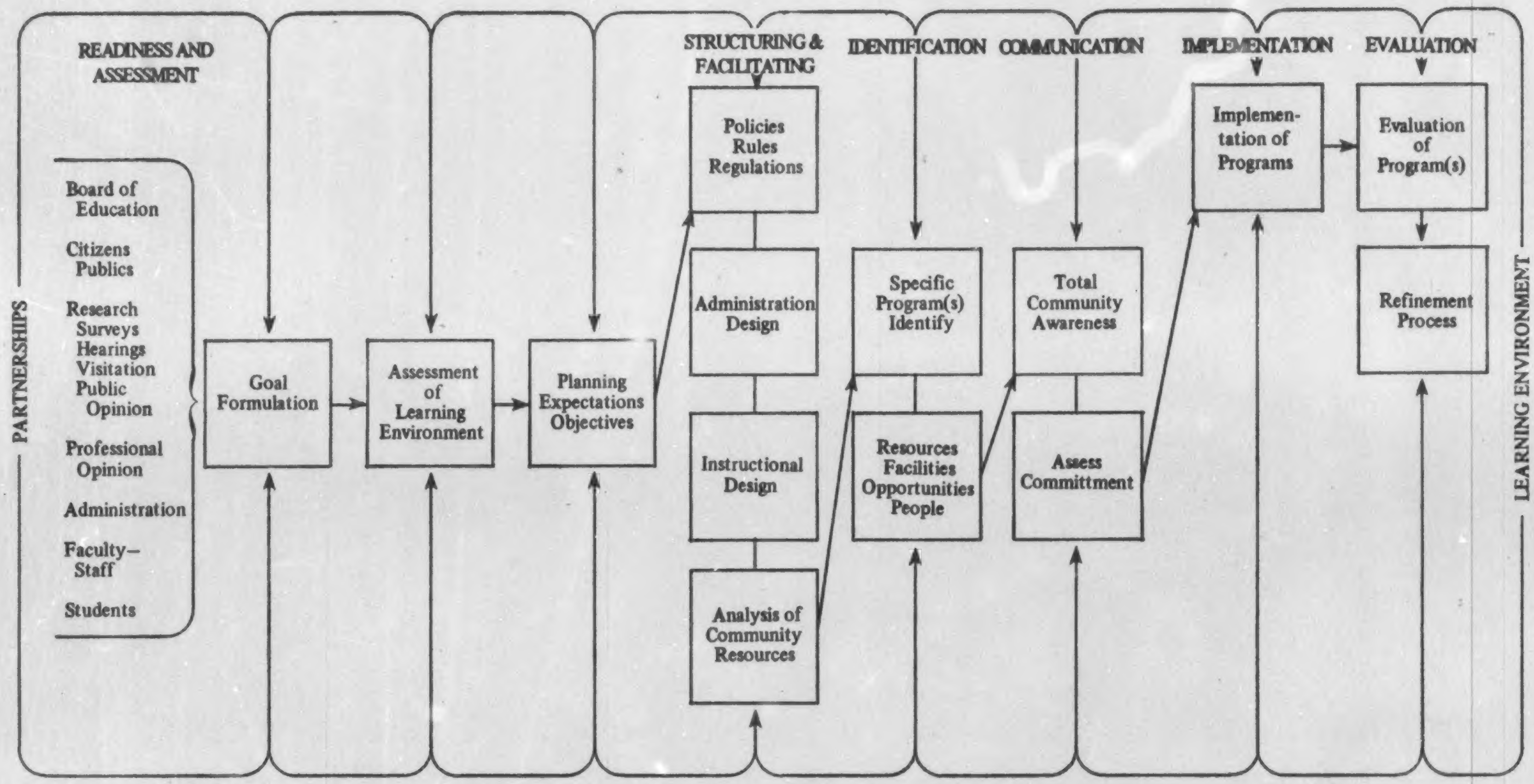
The model of community involvement presented earlier in this chapter is a problem solving model which has been found to be effective in many educational settings.

Another model, which utilizes process phases is presented here as an alternative method for attaining a higher and more effective level of community involvement. (see Fig. 4.3). The phases of this model are:

1. Readiness Phase
2. Structuring and Facilitating Phase
3. Identification Phase
4. Communication Phase
5. Implementation Phase
6. Evaluation Phase

The readiness phase consists of the formation and involvement of groups within the school and community to make them fully aware of the school's present educational program. Then these

Fig. 4.3 Process Phases of a Community Involvement Program


PARTNERSHIPS
READINESS AND ASSESSMENT
Board of Education
Citizens Publics
Research Surveys Hearings Visitation Public Opinion
Professional Opinion
Administration
Faculty—Staff
Students
Goal Formulation
Assessment of Learning Environment
Planning Expectations Objectives
STRUCTURING & FACILITATING
Policies Rules Regulations
Administration Design
Instructional Design
Analysis of Community Resources
IDENTIFICATION
Specific Program(s) Identify
Resources Facilities Opportunities People
COMMUNICATION
Total Community Awareness
Assess Committment
IMPLEMENTATION
Implementation of Programs
EVALUATION
Evaluation of Program(s)
Refinement Process
LEARNING ENVIRONMENT

groups will aim at the formulation of a local definition of education, a statement of policy, and a set of goals and objectives.

The structuring and facilitating phase involves a review, and, if necessary, a revision, of local policies rules and regulations as they are concerned with community involvement, relating at all times to the statements resulting from the readiness phase. This phase may involve adjustment of the administrative design of the school district, a restructuring of budgetary priorities and a reassessment of staff capabilities as they relate to any new objectives outlined. Also the instructional program may need to be adjusted to fit any new goals and objectives specified. It would be necessary to establish a resource accounting procedure for effective utilization of community resources.

The identification phase is to "zero in" on specific programs and opportunities for citizen involvement and to complete the initial planning and preparation for implementation with regard to that specific activity. Many programs and activities could be included in the identification stage, for example, work experience programs, work and occupational awareness and identification programs, ad hoc citizen committees, community surveys, adult and community education programs, volunteer service programs, and tutoring programs, only to mention a few. For example, some of the questions which would have to be considered in the identification and planning area would be: which program or programs should be undertaken at this point, what services and resources are needed, and what would be the level of staff budget or financial commitment on the part of the school district?

The communication phase must continue throughout all stages of this model commencing with the initial awareness period and continuing indefinitely thereafter, but this particular phase involves a concentrated effort at communicating, by means of all the resources and means available to the community, the needs of the school, in regard to the community involvement program, to all the individuals and groups identified as possible participants in future activities.

In essence, in the communication phase the community would be informed of all the work and preparations in the previous phases and the desired expectations. The school district leadership, through observation of this phase and through a variety of contacts which make up the phase, would then be well prepared to make a judgment with regard to what is or is not to be implemented or the possible timing for a specific program to commence.

The implementation phase is that of officially granting the authority and providing the resources to accomplish the desired end of whatever program or activity is being undertaken. Important in the implementation phase would be laying the groundwork and providing the data and information necessary for the final phase, the phase of evaluation.

The Evaluation Phase should provide a judgment as to the degree of success or failure of a particular undertaking and thereby, aid in the identification and planning for other programs or activities which the school district should now be prepared to deal with effectively.

Although implementation of the six phase model described rests primarily at the local district level, as the survey data cited earlier revealed, the DPI has a significant role to play.

Mott Foundation Research

In a recently launched study of School Community Relations, funded by the Charles Stewart Mott Foundation of Flint Michigan a five-year program was commenced in 1974. This is part of a larger "Study of Schooling in the United States." The community involvement aspect of the study is to answer the question "What is the relationship between the school and its community?" In order to answer this question the researchers have decided to investigate six major categories:

> Perceptions, Expectations, Communication, Involvement, Influence, and Resources.
>
> Under the heading of Perceptions, the researchers will try to uncover how various population groups—students, teachers, administrators, parents, and community members—feel about the present operations of the school.
>
> The second category, Expectations, seeks to explain what these population groups believe to be the purpose of precollegiate education.
>
> In the Communications category, researchers are asking, "What is the nature and effectiveness of the communication system between the schools, parents, and the community at large?"
>
> The fourth category centers on the differing views of the existing and potential values of involvement of non-school people in the school. For instance, one preliminary survey question for parents reads, "In what three school activities would you like to participate this year?"
>
> The fifth category, Influence, follows logically from the Involvement category; it seeks to discover "Who runs the schools?"—a potentially controversial topic.
>
> The last category, Resources, speaks to two questions. First, how could the community serve as a resource for students and school

personnel? And, conversely, how could the school facilities serve as a learning center for the community?

This then, is another way of looking at community involvement in education and the progress of this research will be closely followed by those interested in this area.

Resolution and Community Involvement

The three concepts of analysis, communication and involvement have been discussed, and the fourth component of the Bowles and Fruth model namely, issue resolution remains for consideration. The four modes of resolution presented are: (1) the rational decision process, (2) persuasion, (3) bargaining, and (4) power play.

Rational Decision Processes. Rational decision processes assume that the goals which participant subpublics have at stake are the same or mutually shared. In such instances, the participants can work together to achieve their common objectives. This form of resolutions, committees, group processes, and involvement mechanisms.

Persuasion. Persuasion is used when the goals which participant subpublics have at issue are different, but the differences are changeable. That is, the participants enter into the process of resolution with differences but the differences are not sufficiently intense or so firmly held but that evidence, argumentation, and rhetoric will suffice to change the goals of one of the participants to coincide with the objectives of the other. In this instance, the participants employ both reason and emotion to alter the stakes of the other participant. When that is accomplished, the party which changed feels comfortable and adopts the objectives of the other participant.

Bargaining. Bargaining is employed when the goals which participants have at issue are both different and not changeable but negotiable. Bargaining assumes that there will be no persuasion of either participant to the objectives of the other, and that the parties can negotiate so that one participant can gain one goal and lose another, and that the other participant can also gain or lose. Hence, bargaining involves a *quid pro quo* where both parties can gain, and lose too, but neither is brought to adopt the objectives of the other, as in the case of persuasion. By contrast with rational decision processes and persuasion, bargaining is a conflict and not a consensus, mode of resolution. The stakes and the risk tend to be greater and, because an accommodation on common objectives cannot be reached, it will always be in the interest of the participants to seek new, more advantageous *quid pro quos* as the participant's self-interests would dictate and as his power will allow.

Power Play. Power play is employed when the goals which participants have at issue are not only different but the goals are also not changeable and not negotiable. It is a case where neither persuasion nor bargaining are useful means of resolution, and one participant must prevail in his goal over the other participants due solely to his power advantage. Needless to say, the use of power play does not necessitate a great deal of involvement—only a raw exercise of power. Power play results in a loser and a winner and considerable residual animosity on the part of the loser toward the winner—animosity which can always return to disrupt the pacificity of the system.

Recommendations Regarding the Future Role of the DPI

Sources quoted in this paper have pointed out that not all parents or community members have an equal desire to participate in education. Where parents are satisfied with the education being received by their children the desire to intervene in any way with the conduct of schools is limited. Equally clear is the fact that not all educators desire an equal amount of parental and citizen participation in the educational process. A third major consideration is that every community and every school is different and has different needs and objectives. What, therefore, becomes the role of the state educational agency in this domain? It seems obvious that a formalized institutionalized form of community involvement in education is undesirable. Any form of governance structure would appear to ignore the obvious disparity in needs existing in various school districts.

The type of assistance to be provided by the DPI could, therefore, include the following:

1. Acting as an advisory and resource body rather than as a regulatory or supervisory body in the area of community involvement in education in relation to local education districts.
2. Encouraging an increase in the areas of public information and public participation where it is shown to be desired.
3. Preparation and dissemination of a suitable research questionnaire, similar to that used in the Sloan (1973) study which local school districts can utilize to discover local perceptions of areas of community involvement existing and also desired activities. A useful form for such questionnaires is that developed by Walter Krupa (1975) of the Home-School-Community Relations Project at the University of Wisconsin Research and Development Center.
4. Disseminating a list of effective techniques to promote community involvement es-

pecially where such techniques have proved successful in Wisconsin.

5. Providing consultants to assist school districts in the planning of community involvement programs.
6. Developing and conducting workshops in this area especially in the area of interview techniques and interpersonal relationships.
7. Provide state monies where needed to establish or support a viable program of community involvement.
8. Disseminate an up-to-date bibliography of useful references relating to research and development in the area of community involvement.
9. Encourage the establishment of leadership training sessions for lay people focused on improving the knowledge base relating to educational problems as well as improving leadership skills. Such people could become leaders in community involvement programs.
10. Facilitate and encourage alliances between schools, business and industry as sources of strength within the community. Such sources can become useful allies in developing community involvement programs.
11. Encourage the strengthening of all formal and informal existing structures for citizen participation in education.

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CHAPTER 5

Alternative Schools

Larry D. Annett

THE TERM, "ALTERNATIVE SCHOOL," is variously used to describe many different kinds of nontraditional educational programs which have sprung up within the past decade. Hence, this paper begins with a presentation of a model for the categorizing of alternative schools. Then, attention is turned briefly to an examination of the nature of the free school which represents the essence of the alternative school movement. Strengths and weaknesses of three approaches, court, legislative, and administrative, to resolving governance issues are next set forth. This is followed by an analysis of three possible futures for the role of the Department of Public Instruction (DPI) for dealing with alternative schools: discourage, ignore, or support. The paper concludes with a consideration of some steps that should be taken if the DPI assumes a supportive stance.

A Model for Categorizing Alternative Schools

Typical taxonomies for analyzing alternative schools include such lists as the following:

1. Open classroom or open school
2. School without walls—the community serves as the classroom
3. Learning centers—concentration of learning resources in one center available to all students in the community
4. Street academies and dropout centers—for dropouts and potential dropouts with emphasis on the basic skills and career development
5. Cultural and bilingual schools
6. School-within-a-school, or satellite school—a subunit of the original school based within or outside the main building
7. Free schools—operated in the Summerhill tradition (Gubb, 1975)

Gubb (1975, p. 1) observed that one or more of the following characteristics are typical of the alternative school: learning geared to individual student needs, absence of institutionalized coercion regarding behavior or curriculum, elimination of competition and extrinsic motivation and encouragement and self-motivation, absence of a rigid system of grades or age segregation, de-emphasis of the traditional curriculum, and emphasis on individual abilities of students and teachers. She further observed, "A common thread joining the diverse programs is their commitment to voluntary participation. Both the teachers and the students have the option of electing an alternative program from a variety of programs including the traditional public school program." (1975, p. 2).

The view taken in this paper is that the alternative status of a program can best be determined by examining three major dimensions: (1) the relationship of the program to the public schools, (2) the type of innovation attempted, and (3) the scope of the program. These major dimensions, portrayed graphically in Figure 5.1, are basic to understanding and describing alternative schools.

The dichotomous variable, whether the alternative school is inside or outside of the public schools, is a matter of considerable controversy. On the one hand, one group akin to the private school movement contends that any viable alternative must exist outside the public school system to avoid being swallowed up by it. Others of the same persuasion have found that their efforts to implement change within the public school system have been frustrated and that the only option is to leave the system. On the other hand, a more pragmatic group appreciates the fact that public schools have both money and the students, and recognizes that manipulation of the system may provide the greatest opportunity for the development of options at a level where they could have a significant impact. This group has recently succeeded in fostering the growth of several alternatives within the system of public education, such as IGE in public elementary and middle schools, and non-traditional programs in senior high schools.

The second major dimension that must be considered is that of the type of educational innovation being advocated. Unlike the dichotomous dimension of inside or outside of the public schools, the arena of educational innovation is theoretically limitless. There are innumerable ways that programs might vary, and an equal number of labels that may be attached to these variations. It is possible, however, to classify nearly all alternative programs into four main categories: (1) the curriculum, (2) the educatonal ideology, (3) the organization of the program, and (4) the teaching strategies or methodologies of the program. An emphasis on any one of these produces a certain type of school. There may be other emphases leading to other types of innovations; moreover, it is possible that a single program might be innovative in all four areas.

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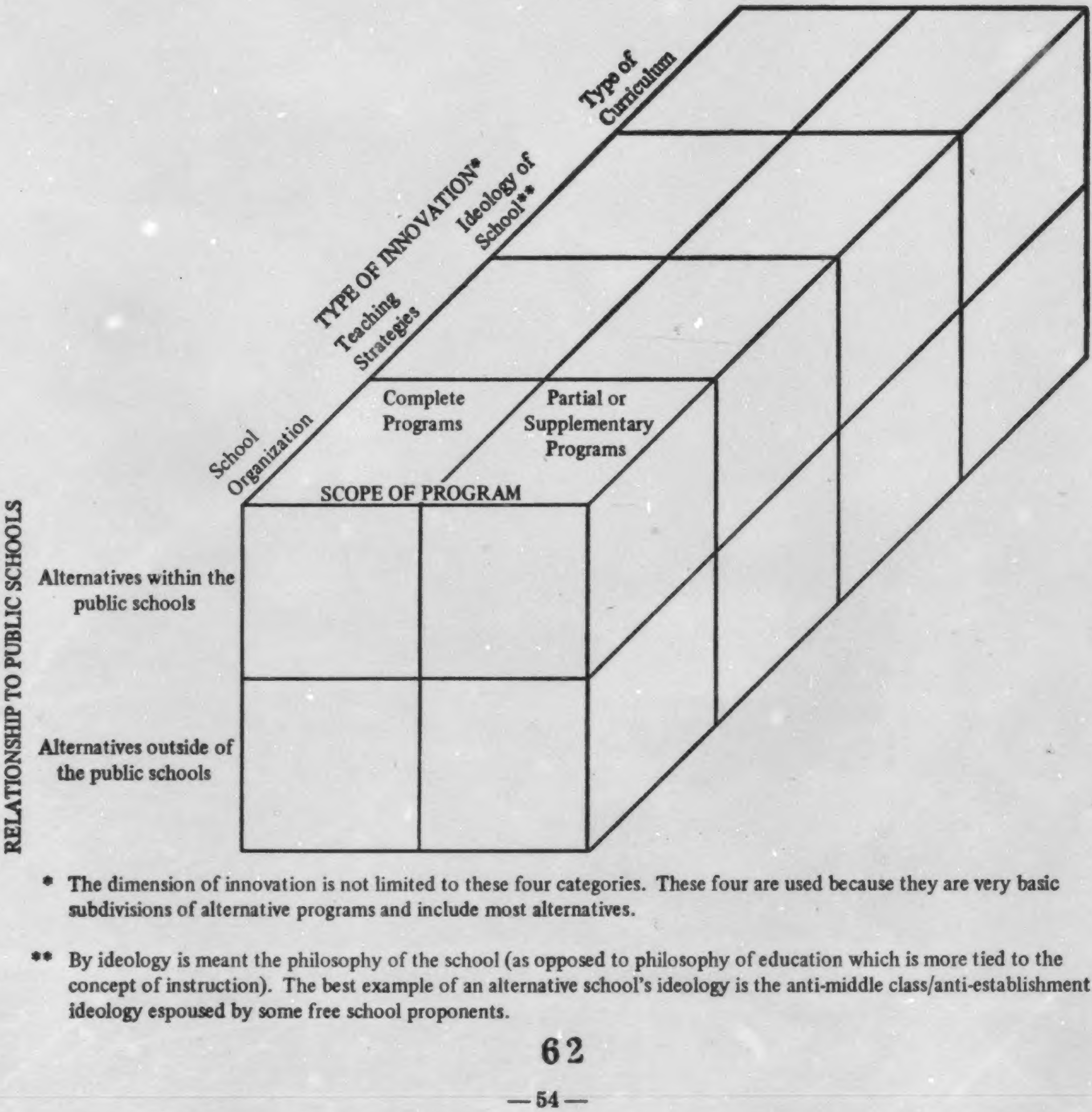
The third major dimension concerns the scope of the program. In many alternative schools it is not at all uncommon for the unique aspects of the program to be implemented for only part of the school day or to apply to only limited curricular and other areas. In other settings, the alternative constitutes the total in-school experience. In this regard, a very recent trend that should be noted is that of an increased "sharing" of certain educative experiences between alternative and traditional school programs.

The three dimensions of the model in Figure 5.1 are relevant for most kinds of considerations that must be made by policy makers as well as consumers when they ask: "What is (or should be) the relationship of the program to the public schools?," "What is special about its program?" and "How complete is its program?" Naturally there are many other ways that alternatives in education could be categorized (by the kinds of students it serves, the money that it spends, etc.), but the issues being raised regarding the future of alternative education and its basic relationship to the DPI are not addressed by making such distinctions.

Fig. 5.1 A Model for Categorizing Alternative Schools


TYPE OF INNOVATION*
Type of Curriculum
Ideology of School**
Teaching Strategies
School Organization
Complete Programs
Partial or Supplementary Programs
SCOPE OF PROGRAM
RELATIONSHIP TO PUBLIC SCHOOLS
Alternatives within the public schools
Alternatives outside of the public schools

* The dimension of innovation is not limited to these four categories. These four are used because they are very basic subdivisions of alternative programs and include most alternatives.

** By ideology is meant the philosophy of the school (as opposed to philosophy of education which is more tied to the concept of instruction). The best example of an alternative school's ideology is the anti-middle class/anti-establishment ideology espoused by some free school proponents.

Free Schools: A Focus on the Issues

More and more as one reads about alternative education and talks to those involved in such projects, it becomes apparent that the key to understanding this type of education is to have a feel for what has come to be labeled as "free schools." Although only a minor part of the whole spectrum of alternatives, free schools are perhaps the most important for policy makers to understand for the following reasons:

1. Free schools (including both public and privately supported free schools) are the alternatives which present the most problems to people who make policy. Not only are there concerns about methodology and courses of study, but also about the entire area of school operations and administration. These latter concerns take up a great deal of time and are the most frequent cause of contact between public and free schools.
2. Many policy makers have established procedures to handle what passes for alternative education. For example, an innovation such as IGE can have appropriate structures and administrative procedures adapted to it because it does not contradict the basic philosophy of the public school. The same goes for new curricular courses such as introducing minority studies. But free schools oftentimes are based on an educational rationale which does not accommodate itself to regular administrative procedures. For instance, many free schools want to have decisions made only after all those involved have had input, and everyone has given at least tacit approval to the proposed solution. Some school boards and administrators have trouble coping with such processes. It is this area that the free school is perhaps most truly innovative.
3. Generally, in free schools one gets the purest conception of what constitutes alternative education. Not that the various components of free schools are new to education, but their resurgence at this time gives an indication of why alternative school people feel such institutions are necessary.

Very briefly, then, here are what may be seen as the hallmarks of the free school:

1. Curriculum—the curriculum is apt to be a list of courses or experiences that the students (sometimes with staff input) have decided they want to investigate. These subjects may be taught by volunteers only. No courses are required, nor are there apt to be many requirements within the courses themselves.
2. The Professional Staff—the staff (including administrators) generally identify themselves as facilitators for student-selected experiences. All decisions are shared; input, regardless of the source, is welcomed and heeded.
3. The Community—free schools generally try to be involved with, and involve, the surrounding community. This involvement is especially solicited from the parents of the school's students.
4. The Political/Organizational Structure—free schools have a general aversion to political hierarchies and formal power. Their structures tend to be highly egalitarian, participatory, and subject to frequent shifts and changes.
5. The Instructional Setting—the importance of the physical facility is consistently downplayed. "It is the people, not the things" that are most necessary. The facilities are likely to be underfurnished and housed in old or inexpensive buildings.

Over the last few years many free schools predicated on these principles appear to be undergoing transition. The reports from the nationally recognized alternative schools, such as Chicago's Metro, Philadelphia's Parkway, and Michigan's Xandue, parallel those in Wisconsin schools such as Madison's City School and Malcoln Shabazz and Milwaukee's Multi-Cultural Community High. The following major changes show a movement away from experiments with total freedom and toward a somewhat traditional format:

1. There are increasing restrictions on the courses that are offered and a move towards courses that must be taken. Partly these changes are a result of local and state requirements for schools; partly they are due to the increased emphasis on basic skills (often called "survival skills" in the argot of the free school).
2. There is a movement towards more clearly defined administrative structures. This change seems to have been caused by the frustrations caused by the totally egalitarian governance procedures, and by certain restrictions or requirements placed on these schools from outside agencies, particularly for funding.
3. There is more emphasis on setting institutional goals which go beyond the vague terminology found in many of the founding documents. This trend toward specificity is also increasingly noticeable in course goals and the planning of individual programs.

Many changes have resulted from the internal dynamics of these schools. When things have not developed within the school as its constituents have wished, the institution has modified its approach. But there is another type of change that is becoming more common and one more directly related to how the DPI reacts to these alternatives. This change is the increasing use of alternative school models within the public schools. Reports from free schools indicate that money required to run alternative programs is becoming harder to find. The logical place to try to find these operating funds, once the federal well has run dry, is from the local school district. Because local districts are also feeling a financial pinch, they insist that any solicitation of funds by alternative schools fit district guidelines. In most cases this acceptance of funds means two types of accountability:

1. That the alternative schools must perform their educational function at a cost that is fairly comparable to the other schools in the district. This is the primary battle for those alternative schools that desire formal designation as a public school since most alternative programs have a low student/teacher ratio.
2. That the alternative school must offer courses that meet locally established guidelines (in the case of a school that wants into the public system), or offer programs into which certain types of students can fit (usually students who for one reason or another are having difficulty fitting into their regular schools).

Both of these requirements result in programs that turn alternative schools into special purpose schools or modified version of regular public schools. This seems to be the price that free schools are required to pay when they become funded with local public money.

Despite the incompleteness of the current picture, certain general conclusions can be made regarding alternative schools and programs over the last ten years. These conclusions are based on the responses of administrators to a survey conducted for this paper and from discussions with people who have been in the alternative school movement for years:

1. Alternatives seem to be moving away from complete schools and towards programs which supplement the public schools. For example, Blacks concerned with public education are becoming more apt to establish a tutorial program than estabilsh a complete school for their children. Alternatives for other groups seem to be following the same trend.
2. The most common crisis for non-public alternatives continues to be finding enough money to operate. This may help explain the recent trend towards supplemental rather than complete programs. A few years ago it was considerably easier to find private or federal funds. Now that much of this money is gone it is increasingly difficult to operate. Since many of these programs are for low or moderate income students, the use of tuition fees is generally not a solution.
3. Alternatives seem to be becoming more prevalent at the elementary level and less common at the secondary level. This trend began with preschool programs staffed by parents and unemployed teachers, and is now moving into elementary schools. Interestingly, the latest addition to alternative education approaches is the parent-initiated public alternative school at the elementary level which use the harsh discipline and rote memory of early twentieth century education—a so-called return to "the basics."
4. Innovation is switching towards the implementation of new methodologies and management systems and away from loose structural organizations and ideologies. Much of this can be seen as an attempt by the alternative school people to get rid of the ambiguity that plagued their earlier attempts.

Approaches to Dealing with the Issues

In the American society, any major issue, including that of alternative schools, may ultimately be resolved through certain actions by the three branches of government, the judicial, the legislative, and the executive (as well as by interactions among the three branches). Each approach to dealing with alternative schools, the court test approach, the legislative approach, and the administrative approach possess certain strengths and weaknesses which one must take into account.

The Court Test Approach

One way to resolve the issue of what to do about alternative schools might be to simply allow certain disputes between and among the various constituencies to be decided in the courts. This by necessity would be done on a case-by-case basis to determine the extent to which the intent of constitutional provisions and current laws and regulations are, in fact, being fulfilled. Strengths of the court test approach include:

1. Legal decisions give definitive guidelines as to the rights and responsibilities of public and nonpuplic schools. It is likely, therefore, to produce judgments on each basic issue considered
2. It is the most likely to deliver an objective determination of the issues, since other approaches are more easily made the captive of vested interests.

Weaknesses of the court test approach include:

1. It is bounded by existing law. Since current statutes are not deemed adequate by most of those concerned, the judgments may be largely meaningless for dealing with many of the issues in alternative education.
2. It can answer only those questions involved in the specific case being considered. There is no guarantee that the most important or defining issues will be part of a case brought to court, and therefore these questions will remain unsettled, particularly since many rulings deal more with procedure than with substance.
3. Decisions on such issues as busing and school integration notwithstanding, the courts are often reluctant to substitute their judgments for those of professional educators who presumably are more able to deal with educational issues or for those of the Legislature.

The Legislative Approach

There are two viable variations to the legislative approach. The first is that of formulating and passing laws which define basic issues concerning alternative schools. Of special importance here is a tighter definition of what constitutes an "equivalent" program. Legislation might also be sponsored which makes accreditation mandatory for non-public schools. In this variation, sample legislation might require:

> In order to qualify for accreditation a private school must offer courses that fulfill all state and local curricular requirements, and must make available to its students any specialized programs or training found within the regular public schools.

A second variation of the legislative approach would be formulating and passing laws that support and clear the way for approval of alternative goals while not taking on the central issue of what the legal definition of a school is. In this variation, sample legislation might require:

> In order to help insure that adequate resources are made available to non-public students, a formula (based on the per pupil cost of a full-time student) will be used to reimburse with state monies the public schools whose facilities are used by these private schools.

Major strengths of the legislative approach are as follows:

1. It would give legal sanction to the establishment of alternative schools.
2. It could formalize the roles of the various constituencies—including that of the DPI and that of the public schools—making the expectations and responsibilities a matter of clear definition.
3. Variation 1 offers statewide guidelines for establishing a wide range of educational experiments.
4. Variation 2 helps protect the various groups from financial or other pressures that might hinder innovation even though it does not deal with matters indigenous to the whole issue.

Weaknesses of the legislative approach include:

1. Needed laws may not get passed, or, if passed, be successfully challenged in the courts so that much of the energy spent is wasted.
2. Variation 1 runs the risk of establishing "legislated curriculum" which becomes so rigid and demanding it acts to destroy all but the most conforming of alternatives in both public and alternative schools.
3. Variation 2 risks picking away at the problem without ever settling the central issues. Everyone works for legislation to protect his immediate interests often ignoring the benefit of comprehensive laws.

The Administrative Approach

The third approach to dealing with alternative schools, that which is advocated here, places the responsibility for dealing with the issues surrounding alternative education squarely with the administrative unit established for this purpose—DPI. In this approach, DPI would assume the initiative in establishing guidelines for approving, funding and evaluating—in short, accrediting—alternative schools. The watchword is "cooperation"—a joint exploration and production of standards and procedures by representatives from the DPI, the public schools, and the local alternative schools. The development and use of guidelines would require extensive participation by representatives of all persons concerned.

The accreditation guidelines envisioned for alternative schools might range in scope from extremely broad to extremely specific. The question of "what" should be assessed cannot be limited to a single level of generality. The broadest type of accreditation guideline might be:

> Because of existing statutes concerning compulsory attendance, truancy, and safety standards, all nonpublic schools will be required to register both with the DPI and the local school district upon beginning operations. However, since the legal definition of "what constitutes a school" is so general, the initial recognition of these institutions as schools must be more or less pro forma.

Under this proposed guideline, should a nonpublic school desire services or financial or program support from the public schools subsequent to its first year of operation, it would be necessary that it go through the accreditation process. Because of its specific responsibility for attendance and its more general charge to provide an adequate basic education, the local district has the option of requiring that all nonpublic schools in their attendance area go through the accreditation process after their first year of operation.

In contrast to such general guidelines, very specific suggestions of what should be assessed could be included. Although this report will not detail these in any systematic way, one such guideline is cited to demonstrate the level of generality that is needed:

> For each of the educational experiences that are formally scheduled out in the community at large, explain the procedures used to evaluate the experience. Include any forms that are used on a schoolwide basis. If the evaluation is in the form of a written report (by the student and/or the adults who are supervising the activity), include two or three actual samples from the previous evaluation period.

The administrative approach to guidelines should also reflect the concern for alternative education of each group involved. This will be difficult since it must be assumed that many of the alternative school people will have a very different perspective on what the public schools can legitimately assess. The outline of each general and specific item to be included in the guidelines must be negotiated between and among the groups involved.

As with the court and legislative approaches it is necessary to consider the strengths and weaknesses of approaching the issue of alternative schools through the establishment of administtrative accreditation guidelines.

Strengths of the administrative approach include:

1. It is a systematic attempt to address the entire issue of alternative education—in this way it differs from court tests which focus on specific issues and treat larger concerns only by implication.
2. It helps establish definite procedures which can be used by the state and by local districts. This is a contrast to the legislative approach which generally offers only broad directions or specific prohibitions.
3. It obviously does not rule out the other two approaches. Once a set of guidelines has been established it can be tested, refined, and then made into a more realistic basis from which to formulate legislation or to bring specific issues into the judicial process.
4. It offers a guarantee that there will be a product which can be used or can be the groundwork for further study, refinement, and change.
5. It can, from the beginning, insure input from all groups involved with alternatives. It does this by working or checking with each group as the accreditation policies and procedures are evolving.

Weaknesses of the administrative guidelines approach include:

1. Any product will lack sanction until new laws are enacted or fundamental issues are resolved in the courts.
2. This approach is most time consuming and presupposes that the DPI not only has faced the issue of alternative schools, but also has charted the future by a firm resolve to do something about them.

Three Possible Future Roles for the DPI

At this juncture it is possible for purposes of analysis to envision three future roles of the DPI vis-à-vis alternative schools: (1) discourage, "overregulate," and thwart; (2) ignore, maintain ambivalence, and "wait and see;" or (3) facilitate, encourage, and support. Presently, there are some people who hold strong covert, if not overt, convictions concerning each stance. Undoubtedly, however, there are many who have not yet made up their minds about alternative schools.

In delineating the three positions discussed in this section, an effort was made to understand the types of beliefs and value systems that might generate the different formal positions that the DPI might take regarding alternative schools. The adoption of a position by a state education agency is not necessarily the result of a rational decision-making process; rather, it is more likely to be the product of a synthesis of often conflicting ideas and interests (Gubb, 1975, p. 12).

The discussions that follow are not intended to be equally comprehensive or indicative of the full array of possible future actions. They are intended, however, to provoke discussion to stimulate formation of a formal future policy position.

Role I: Discourage Alternative Schools

To some, the act of creating an alternative school is in itself an attack on the venerable and vulnerable traditions of education, because it implies that the system is not adequately serving all students and that perhaps there exists something more desirable. Any new program threatens those whose power base is established within the foundations of bureaucracy and tradition; those people tend not to be amenable to new ideas which necessitate a major shift in priorities and attitudes, and they even react in a manner that inhibits change. Often the education community (teachers, principals, superintendents, and school board members are products of the traditional system, and their feelings that it has served them well make them reluctant to accept and adapt to change (Gubb, 1975, p. 5). Others object to alternative schools on philosophical grounds. They view alternatives as defying the "melting pot" influence, and as separatist, if not elitist, being geared to particular types of students. Similarly, some object to the lack of scope, clarity, and continuity of alternative school curricula. Still others view the alternative shcool as diverting needed monies and talented teachers away from the mainstream of education.

Should the viewpoints of those committed to thwarting alternative schools prevail, it is possible that the DPI could take several actions, either as a "friend of the court," sponsoring new legislation, or enacting stringent regulations of alternative schools. Among such specfics might be: establishing strict criteria for establishing schools, prescribing specific statewide curriculum requirements, limiting academic credit for "non-academic" work, granting funds only for proven programs, and utilizing statewide testing either to foster uniformity or to ensure accountability, in education. (Gubb, 1975, pp. 25-26.)

Although this future role for the DPI, that of discouraging alternatives, could be summarily dismissed, it should be observed that in some quarters one or more of these future actions by DPI although not necessarily directed toward alternative schools, is currently receiving strong political support in Wisconsin.

Role II: Ignore Alternative Schools

To some, an attitude of ambivalence toward alternative schools is appropriate—that, in effect, the DPI should maintain a "non-position;" "business as usual;" "this, too, will pass;" or "wait and see" attitude. It is perhaps accurate to depict this stance as the currently prevailing view of many educators in Wisconsin.

The attitude of benign neglect possesses certain advantages: it requires no commitment to any philosophic position; it permits curricular diversity; it fosters coexistence of divergent programs; and it provides the public with several options. Within this view, the role of the DPI is not so much proactive (regulatory, on the one hand, or innovative, on the other), as it is reactive. In effect, this stance permits the fate of alternative schools to rest with the various and vocal subpublics involved. It should be cautioned, however, that this view is the antithesis of the essence of leadership.

Role III: Support Alternative Schools

It is the view of this author that the appropriate future role of the DPI should be that of encouraging, facilitating, and supporting alternative schools. Initially, this stance would emphasize the administrative, rather than the legislative or "court test" approach to the issues involved. These issues relate to DPI policies concerning the accreditation procedures, staffing, curriculum, and financing of alternative schools.

Basic questions. As previously stated, until recently there has been a gradual increase in the number of alternative schools. Regarding this trend, DPI should, answer certain basic questions:

1. Should DPI act as a facilitator for those alternative programs being spawned in the local districts, or should it help in initiating such programs? Here again is the perennial question of whether the DPI should be the state's educational leader or the responder to the needs of the state's educators.
2. What priorities does the DPI have for alternative programs? Are there certain types of programs it wants to see expanded, or will the primary criteria be based on what it feels are the kinds of programs educators seem to want? Should it set these priorities and then go after money to realize them or should it keep its ear to the ground for federal funds and then develop programs based on federally established guidelines?
3. How much reorganization will a commitment to alternative programs require? Can the present number of DPI specialists handle the job, or will more and different specialists be required? Will there be a need for a director of alternative programs?
4. What type and amount of work in curricular, teaching, and administrative skills needs to be done? If DPI is going to favor alternative programs, then obviously a great deal of work needs to be done. It is conceivable that a local district would spell out the kind of alternative school it desired and representatives from the DPI could help bring this conception into existence.
5. How active should the Department be in fostering institutions that exist outside the public schools? This is especially troublesome when these nonpublic schools appear to duplicate the efforts of the community's public institutions. This problem can perhaps be taken care of by DPI-established accreditation procedures.

The nature of the answers to the above questions will provide the directions to be taken concerning DPI staffing, as well as other matters related to alternative schools.

DPI Staffing. The scope and nature of alternative schools in the State of Wisconsin is rapidly changing. No matter what role the DPI wishes to play vis-à-vis alternatives, it is responsible for understanding what is happening in the field and communicating that knowledge to educators throughout the state. To accomplish this means keeping a close watch on what is happening, of what is happening in alternative schools, public school educators throughout the state are largely ignorant. Presently, there is no system or means by which to gather this information. Mandatory accreditation would help establish this sort of communication, but it does not go far enough. To fulfill adequately this task, the employment of a person whose primary duties are to collect and disseminate this information seems essential. This person must define what alternatives exist, and what role they are filling in the state's educational system.

Beyond being a clearinghouse for information regarding alternatives, a specialist in alternative education would be repsonsible for gathering input to determine official DPI policy—that is, which of the three (or more) possible future roles the DPI should take.

DPI and the Curricula of Alternative Schools. Alternative schools in Wisconsin appear to utilize two basic curricular approaches: Laissez-faire and neohumanism. The laissez-faire approach encourages the curriculum to grow organically from the interests of the students and staff—courses are taught if enough people express an interest in learning about the subject. The result of this laissez-faire approach is what has been labeled the "supermarket curriculum." This type of curriculum is most often found at the secondary level.

DPI must take a careful look at schools approaching curriculum in a laissez-faire fashion. It is possible, but not likely, that the course of study in such schools meets the minimal curricular standards set by the State. The DPI is likely to encounter the following difficulties in deciding whether to support schools with this type of curriculum:

1. Although courses are offered that appear to meet general state standards (e.g. the social studies charge to teach "respect for country and heritage") the laissez-faire approach does not make enrollment in these courses mandatory.
2. Courses that are born of general interest are themselves likely to be general. It is not uncommon to find courses in laissez-faire curricula such as "The Human Condition" or "Coping with Life Problems." To insure any sort of quality DPI must go beyond course names, or the brief descriptors found in course catalogues.
3. Under the laissez-faire approach, courses come into being because of intrest and not because of expertise. Certificated teachers are sometimes recruited (or recruit themselves) because of their special interests regardless of whether they have training in the specific subject they are to teach. A more common situation is the use of teachers who have expertise in the "real world" but are not certified by a teacher training institution. Staff members with practical knowledge are generally pointed to with pride by people in alternative schools. Indeed, the tyranny of educational credentials has been a major theme of writers such as Holt (1964), Kozol (1972), Friedenberg (1965), Dennison (1970) and Illich (1972). If DPI is to endorse or support secondary alternatives it will have to set a general policy regarding the relationship of certificated staff to the curriculum. One possible approach is to insist that when noncertificated "experts" are in charge of a class they must be a part of a team that includes certificated personnel. This solution, however, may create problems with teacher's unions.

The second widely utilized approach to curriculum in alternative schools (again most common at the secondary level) is what can be called "neohumanism." Briefly, this is an insistance that content be molded to fit the personal problems of the students—that the only worthwhile teaching is generated by, and intertwined with, the students' felt needs. The watchwords of this approach to the curriculum are "inquiry," "personal growth," "feeling," and "expression of feelings." All of these are important educational concepts, but they are also too vague to give any specific indication of what a curriculum committed to develop these concepts is actually like. It is this curricular approach that has led to the frequently heard criticism that all kids do in alternative schools is sit around and relate to one another. As one student of a Madison alternative put it, "No matter what courses you take, you always end up doing the same thing."

The importance of students' interests and their personal relationship to course content are two crucial features of the curriculum of many alternative schools. Disregard for these two variables is often mentioned by staff members as a reason for their leaving the regular public schools. Selecting a curriculum based on personal feelings of interest and relevance is certainly a legitimate alternative to normal curriculum building, and one that is becoming more common in the regular schools. However, DPI must sensitize itself to certain aspects of this humanistic approach before granting official legitimacy to such curricula:

1. The emphasis on personal problems or narrow personal interests vis-à-vis the curriculum has the tendency to deny a systematic approach to content, and increases the likelihood that courses turn into rap sessions not unlike those that abound in undergraduate dormitories. Such discussions may be personally beneficial, but not full of the kinds of learnings that the course title might have led one to expect. Before endorsing altrnative schools with this orientation, the DPI ought to do two things:
   a) Explain that it endorses the humanistic approach to education, but that is expects that this approach itself is not a substitute for course content.
   b) Ask schools to offer a listing of mini-

mal learnings that are expected to result from each of its courses. These learnings would not have to be stated behaviorally (a request that would immediately alienate most alternative school people), but should be a general statement of what subject matter the course includes.

2. The Department must understand and make it clear to others (especially its potential critics) that although it grants legitimacy to the neohumanistic approach to the curriculum, it sees this approach as only one alternative to the present educational reality. It must recognize that when handled in a way that does not degenerate into meaningless discussion, the humanistic approach can work beyond personal frustrations and towards personal social commitment beyond the walls of the school. There can be no dispute over the fact that the impact of students on the outside community is often extensive and positive. The Department may use examples of this type of overt commitment as part of its rationale for endorsing this type of alternative school.

DPI and the Staffing of Alternative Schools. Both of the above approaches to curriculum are openly at odds with regular staffing patterns. The DPI must, therefore, grapple with certain issues:

1. It will have to set policy for the use of noncertificated personnel (earlier a team approach was suggested). Even if the relationship between certificated and noncertificated staff is clarified there remains the problem of the alleged expertise of the noncertificated teacher. In technical areas it will be relatively easy to establish standards (e.g. people teaching manual or artistic skills must have professional experience in these areas). Setting minimal standards for nonprofessionals in nontechnical areas will be more difficult. I foresee two specific problems:
    - a. What relationship does the DPI see between having expertise and communicating it in a learning situation? Is the DPI willing to go on record saying that if a person can do something he or she can teach (or help teach) someone else to do it? When stated in these general terms the argument may seem easy to dismiss. However, as an example many alternative school people (notably Kozol, 1972) claim that the only prerequisite for being a reading teacher is knowing how to read.
    - b. There will be special problems with courses taught by nonprofessionals where the only prerequisite experiences seem to be that the teacher has weathered the various crises that life inevitably presents. This difficulty is especially likely in staffs that follow the neohumanistic approach to the curriculum. People without professional training who deal with groups on the "personal" (or semitherapeutic) level are apt to allow class discussions based on subjective feelings and experiences to degenerate into rambling "rap sessions" that lead nowhere. Professional group training could be required even though the person is a noncertificated teacher (it may be helpful to require the certificated staff who use this approach also to have such training also).
2. Another acute problem is that of staff turnover. Some secondary alternative schools average a 50 per cent staff turnover each year. It may be that this staff fluidity has a detrimental effect on students, but one may doubt if such a charge could be proven. Even if the charge were established, it is questionable if DPI should set policy on the basis of such a determination. What does concern the DPI is that if it grants legitimacy to these alternatives, the staffing patterns must be monitored more closely than in regular schools where the professional team remains relatively constant, at least during the school year.

The DPI and the Financing of Alternative Schools. Nearly everyone knows of the financial problems of many alternative schools. Many people close to the alternative school movement feel that the financial pinch is destroying non-public alternative schools. Publicly supported alternative schools are also affected by the tight economy. Some staff members of publicly supported alternative schools feel that the board of education (as well as some central office administrators) see their alternatives as a "frill" that can later be cut when the going gets rough.

Should DPI elect Role III, actively supporting alternative schools, it will have to offer plans for keeping these schools cost-effective. The following are some suggestions that seem to be working throughout the Midwest to keep these schools open:

1. In most cases, the biggest additional cost to the school district is keeping another building operating. A number of plans can be worked out that allow the alternative to share facilities with other programs. In Madison, the alternative high school moved into a low-enrollment elementary school; in Chicago, Metro used vacant space in pub-

lic service buildings (e.g. welfare bldgs.). The use of shared facilities works best with publicly supported alternatives since they have "official" access to a number of buildings, and, in addition, have a dollar allotment for each of the students. The problem with this plan is that alternative schools are at the mercy of the philanthropic urges of school systems and other large institutions.

2. A second way to eliminate additional building costs is to incorporate the entire alternative structure into an ongoing school of the same type. This is generally referred to as a "school-within-a-school." This move is often a workable compromise. Alternative school people may not favor such a move because they feel the identity of the school is lost. One plan that seems to answer this concern is to house the alternative school in another school which does not encourage peer group interaction (e.g. an alternative high school housed in a wing of an elementary school or vice versa; an alternative school renting a wing of a parochial school that has been declining in enrollment).
3. Some savings would also accrue if alternative schools used a regular (or the locally established) staff/student ratio. Because of the number of volunteers, there never seems to be a lack of certificated staff. If the Department wishes to require that a certificated teacher be in attendance in each class, the normal class size in many alternative schools will have to be dramatically increased. Such increases in class size are likely to be resisted by many alternative schools. A strong economic argument may convince them otherwise.

Approval of Alternative Schools: An Action Plan for DPI

In assuming Role III, that of fostering the development of alternative schools in the State of Wisconsin, the DPI should implement a comprehensive plan for the accreditation of alternative schools. In this action plan, attention first should be given to the timetable for accreditation, as well as to the role of DPI, the public school districts, and the alternative schools involved.

Timetable for Accreditation

Alternative schools in Wisconsin might be accredited in the following time sequence:

1st Year of Operation

1. Registration of the new school with the local system and DPI.

2nd Year of Operation

1. Registration with local system and DPI.
2. Accreditation procedures:
   a. Submit data sheets (see next section) to committee.
   b. Data sheets reviewed by committee and visitation team assigned.
   c. Visitation by team and their committee.
   d. Committee recommends accreditation to superintendents of public schools and DPI.

3rd Year of Operation

1. Registration — including forms to report and major changes in policy or philosophy.

The rationale behind this timetable involves state statutes regarding compulsory attendance which make it necessary to keep track of the whereabouts of school age children. Thus, the annual registration of all alternatives is imparative. Although the enforcemnet of attendance through truancy officers is a local responsibility, the mandate ultimately rests in state statutes. Because of this (and because the State needs to know what is happening in the field of alternative education), it is necessary for new schools to submit their rosters and founding documents both to local and state officials.

Within this timetable, formal accreditation procedures are delayed until the new school is in its second year of operation. This is done for several reasons. Alternative schools are notoriously short-lived and effective accreditation procedures are very time-consuming. It makes little sense to spend time accrediting schools if two-thirds of them are not going to exist the following year. Since the first year reflects the higher fatality rate among these schools, it seems wise to postpone a major accreditation effort until the second year of operation. Moreover, during the first year of a new school it is not possible to pass any long-term judgment. A school's first year is a time of sorting things out and institutionalizing procedures which until then have existed only in the minds of those creating the school. It would be manifestly unfair to expect a new school to be fulfilling its potential promise after existing for only a few months.

Decisions will have to be made regarding a continuing policy of accreditation once the original assessment has been completed. These judgments will concern procedures for schools that fail to be accredited by the first assessment; how often successfully accredited schools need to be reassessed; and modification of accreditation procedures after the school's first successful accreditation. One procedure that should be included on a yearly basis, regardless of how these problems are resolved, is the annual submission of reports by the alternative schools explaining any major shifts their schools have undergone in regard to their governance policies or curricular organization. Since most of these schools are almost completely controlled by the community, they can initiate major policy changes via a simple consensus of the community. Such policy shifts can completely transform the nature of the educational experience offered by the school.

The Role of the DPI

One of the major recommendations of this paper is the increased responsibility that must be taken by DPI vis-à-vis nonpublic educational alternatives. The building of this relationship finds precedents in the traditional relationship DPI has fostered with nonpublic parochial schools. The State's statutes form a bedrock of policy for DPI, and although these laws are not specific in their delegation of authority, their intent appears to place some responsibility for providing all children of the state with a respectable education. Much of this authority has been delegated to the local districts. Even though the local districts have accepted this responsibility in most cases, the rise of a new educational phenomenon such as non-public schools throws old assumptions and procedures into a state of confusion. As was pointed out earlier in this paper, this confusion cannot be satisfactorily ameliorated by a return to the letter of the law, since the existing legal dictates are not specific enough to offer this type of guidance. The guidance for settling the issues must come from a clarification of responsibility.

Since this paper takes the position that the best approach is through establishment of administrative guidelines rather than a legalist solution, the DPI must find the best way to facilitate this process. It would be appropriate if DPI had a staff member whose sole responsibility was working with alternative programs inside and outside the public schools. Since such a role does not presently exist, and since DPI must define its role in the development of official stands that local districts, such as Milwaukee and Madison, take in relation to nonpublic alternative schools, the following steps might be taken:

1. The department should work with the district public schools to establish the guide lines that will be used to evaluate these alternative schools. Future meetings between representatives of the district public schools and the Department of Public Instruction based on refinement and official acceptance of the policy and procedural recommendations of these guidelines will complete this process.
2. There will need to be a person from the DPI on the central committee in charge of accreditation that is charged with organizing the collection of data and the setting up of visitation teams. This group will be responsible for setting up the specific procedures of registration and accreditation (e.g., how alternative schools should be contacted; the disemination of information regarding accreditation policy; the number and necessary qualifications of visitation team members; etc.).
3. DPI's representative on the central committee will act as the official liaison between the district public schools and the state superintendent to accomplish such tasks as clarification of existing statutes and communicating official committee proposals (e.g., establishing a state aid formula, shared-time programs).
4. Upon request from the district public schools, DPI should assign a qualified representative to serve on the visitation team that will present the final recommendation for accreditation.
5. The official accreditation of each alternative school will be granted jointly by the DPI and the district public schools. The school will, therefore, have the official recognition of the state as well as the local district.

The Role of Public School Districts

Since the accreditation of nonpublic alternative schools has direct and immediate impact on public school systems, the district public schools should have a great deal to say about any guidelines and procedures that become official policy.

1. The district public schools should have veto power over any guidelines that are proposed unless these guidelines are clearly related to fulfilling state statutes. Hopefully, the input of the district public schools will be an ongoing process and will not occur on arbitration of a set of guidelines which are developed by an outside agency. This report attempts to incorporate the suggestions of several people. Yet it will be necessary for representatives of a district's public schools to read this entire document and use (or adopt) only those portions it deems appropriate.
2. As with DPI, a district's public schools must have a permanent representative on

the central committee in charge of accreditation. The coordination of this committee's efforts should also rest with the district public schools. This means that the district public schools will be in charge of collecting the data from the alternative schools in its area (although the committee may work out a more equitable division of labor with the DPI). The selection of the visitation teams should also be coordinated by the public schools, following any guidelines that have been established for representativeness.

3. The printing and mailing of forms should be handled by the district public schools. This would include materials for both the registration and accreditation phases.
4. Official accreditation is the responsibility of the district public schools. By officially accrediting an alternative school, it fulfills its legal obligation to account for those students in attendance at this school.

The Role of Alternative Schools

In a program designed to grant official status to the alternative schools, it is unthinkable that the views and concerns of those educators would be ignored. The input of those directly involved in the alternative movement is crucial not only because they are the group who stands to benefit most from accreditation, but because their views in some cases tend to be the antithesis of those in the regular public schools—had their views coincided there would have been no need to establish an alternative.

1. Representatives from alternative schools should have input into the forms that will be sent out to their schools. This input could be handled in two ways: (a) Send out a tentative set of accreditation forms to a large sample of alternative school staffs and let them respond in writing to the instrument as a whole as well as specific items; (b) Call in two or three people who seem to be key figures in the local alternative movement and get their input as the final version of the documents evolve.
2. A representative from alternative schools should sit on the central committee in charge of accreditation to insure input at this level of coordination. This person would also be charged with communicating to the committee any grievances raised by the local alternative schools regarding accreditation. Since lines of communication are already established among alternative school people, this person might also be responsible for discovering any new schools that have begun.
3. Whenever possible the visitation teams should include an alternative school person.

There are many non-public schools that fit the definition of the type of school being discussed, but are so well established they would derive small benefit from going through these accreditation processes. Many of these are parochial schools which are far too large to go through this process considering the time and financial limitations. It would, therefore, seem proper not to require a complete accreditation of those schools which have had their programs formally approved by other agencies. In most cases this means approval by the appropriate accrediting association, although there may be other formal accrediting agencies.

Despite the waiving of local accreditation procedures, *all* schools would be required to register with the district public schools. If another acceptable evaluation has been complete, such as by the North Central Association, this report should be included with the registration forms.

Conclusion

In supporting and accrediting alternative schools, the DPI must define what it means by "quality education." For example, if quality is defined in terms of academic achievement it will be rejected by a majority of alternative school personnel. Since it was the overemphasis on academic achievement that drove many pupils out of the traditional system and into alternative schools in the first place, DPI will have to step into the treacherous waters of defining quality in terms of the kind of society in which we live, and the kinds of citizens that can successfully adapt themselves to that kind of society and to change it for the better. No state department of education is going to get very didactic in such a prescription. But unless DPI comes out and presents a rationale which recognizes the changes and complexity in our contemporary social order, any move to encourage alternatives will be puzzling to those within and outside the field of education. This paper points one way for the Wisconsin DPI to assume leadership in the field of alternative education. Hopefully, this will occur in the near future.

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CHAPTER 6

Educational Assessment

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STATE ASSESSMENT OF STUDENT ACHIEVEMENT is not a new phenomenon. Impara (1975) noted that some sort of statewide assessment program exists in each of the fifty states. The same claim can probably be made for the pervasive nature of state educational goals and standards. In Wisconsin efforts have been made to develop all three components for educaton—goals, standards, and assessment. What is not clear is what the relationship is to be among state educational goals, standards, and statewide assessment of student achievement.

The position taken in this paper is that the relationships among these three components will remain unclear until the intent of statewide assessment is clarified. As Impara (1975) noted, "Assessment programs have begun with little thought to either the purposes of the assessment or to its audiences . . . Someone, however, must make the decision about the primary focus and purpose of statewide assessment. This decision requires that those who set assessment policy know what type of information they want or need." A further position taken and developed in this paper is that the intent of assessment will remain unclear until the educational commuity in the state determines what management role and management style state government is to exercise in state educational leadership.

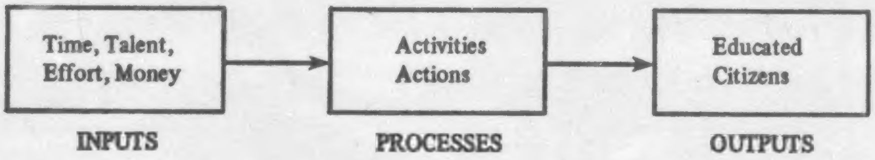
The positions taken above are developed in three sections of this paper. In Section One a perspective of state assessment, state goal setting, and state standards adoption is presented. Relationships among these three concepts are noted and the relationship of all three to a system orientation is explored. In the second section the recent history of national and state assessment is documented. Attention is given in this historical overview to the manner in which some states have treated such issues as the relationship of state goals to assessment efforts, the development of performance objectives, and the selection of instrumentation. Particular attention is devoted in the historical overview to a review of the last three years of state assessment in Wisconsin. In the final section of the paper four alternative futures for state assessment in Wisconsin are presented, along with the description of that climate which is most likely to be conducive to an effective assessment program.

Perspectives

The educational enterprise may be conceived of as a system having inputs, processes, and outputs. *Inputs* are the resources (time, talent, effort and money) which are marshalled for the purpose of educating the citizens of the state. *Processes* are activities and actions taken by operatives to bring about education in the citizens. In the narrowest sense, *output*, i.e., the combining of inputs and processes, is that of educated citizens. There are joint outputs of education (employment for 12% of the work force, secondary employment for all of the people who provide goods and services related to education, child-care which releases prime care-takers for societally-useful activities, etc.), but for the purposes of this paper, the prime output of the educational endeavor is educated citizens—specifically the acquisition of desirable knowledge, skills, and attitudes associated with the life of a mature individual in society.

A diagram of the "system" of education is produced in Figure 6.1. If the output of the educational system is conceived as learning or education, output is a relatively understandable term. There is much confusion between the words inputs and processes. A basic input into the educational system is the money raised to support the educational endeavor. The money, itself, does not result in education; it does result in the acquisiton of goods and services which may produce education. Another kind of input is the experiential base that children bring with them to the school.

Figure 6.1 A Systems Model of Education



A third kind of input is the quality of the educational environment in the community—for example, the presence of libraries, museums, and the general educational level of the community.

Educational processes are those activities engaged in by the staff and administration which are designed to result in learning. Administration can be democratic, autocratic, or laissez-faire. Administrative style is a process element focused on creating a climate in which staff can work effectively to produce learning. Despite the fact that administrative style is focused upon teachers and not children, it is a process variable. Team teaching, the use of language laboratories, and scheduling are all process variables.

Were it that a linear combination of inputs and processes produced a fixed output, then it would be feasible to speak of a system of education. But since humans are infinitely variable and since, at this time, the exact nature of learning is unclear, it is not known which combinations of inputs will produce which outcomes. This is further compounded by the fact that there is considerable debate at the local, state, and federal levels as to what, exactly, the outcomes of education should be.

The educational system, then, must operate in a context in which the outputs are not completely determined and in which it is impossible, at this time, to combine inputs and processes in a linear fashion to achieve even those outputs which do have general acceptance (e.g., literacy). It is in this context that the call for accountability (as an output) and assessment (as a process) must be viewed.

Goals of Education

It is clear, also from a systems perspective, that the availability of a clear and comprehensive set of goals for the educational enterprise would be decidedly helpful. A goal is defined as a clear statement of intent. It is derived by answering the question: "What is it that you are trying to accomplish?" Earlier it was stated that the prime output of the educaional endeavor is education, the acquisition of desirable skills, attitudes and knowledge. Specification of which skills, attitudes, and knowledge are to be learned and the levels at which they are to be learned would then constitute a goals statement. They are educational goals.

The word "goal" may also be used in connection with inputs and processes. It is possible to target a mill rate as the minimum acceptable local tax effort. It might even be possible to preclude certain children who do not meet a certain standard of performance. We could specify that all teachers have 10 credits in reading. These could be conceived of as input goals to be achieved by schools. It would also be possible to use the word goals with respect to processes. All children could be given experiences of being counseled, working in an open classroom, studying with a teaching team or having released time for religious education. This would entail the setting of process goals.

The phrase educational goals should be reserved for outputs rather than processes or inputs. The question is fundamental: Do we target the acquisition of knowledge, skills, and attitudes or do we attempt to provide opportunities (however equal)? This is the fundamental distinction between setting output goals in the first instance and input and process goals in the second.

The prime purpose of having educational goals is that the goals give everyone contributing to the system a clear idea of what one's contribution is supposed to produce. In this sense, the purpose of educational goals is to focus the efforts of the contributors.

Goals may also be used for setting priorities. If a given goal is perceived as being more or less important than another goal, then more or fewer inputs may be expended via more or fewer activities or actions to achieve these goals. Goals may also be used as human motivators. Lofty goals may be seen to inspire greater effort upon the part of the various contributors to the system. Finally, goals may be used for accountability. Once goals are clearly stated, it should be possible to judge the efficacy of various processes in achieving these outcomes.

Given that a statement of goals would be desirable from a systems perspective, what kinds of goal statements are feasible? Part of the function of a state in society is to see that certain minimal expectations of the members of society are met. To function effectively in a democratic society, it is believed that a citizen must have certain characteristics which are achievable through processes called education.

If a person is to be able to pursue happiness using his/her life and liberty to do so, one should be able to manage his/her own life including personal, social, and fiscal affairs. It would be possible to specify the minimum levels of competency required in each of these areas and to call them minimal goals for education. Anyone who possesses them, i.e. has reached the goals, is said to be educated. Anyone who has not done so is not yet educated. The rationale for the establishment of minimal state goals would lie in the fundamental purpose of the state—that of guaranteeing the rights to life, liberty and the pursuit of happiness—the assumption being that certain learnings are prerequisite.

Another rationale for minimal state educational goals might be found in the common good. Since all members of society are related to each member of society, then (it could be argued) each member has to be able to perform certain minimal activities necessary for the well-being of other members of society (read stop signs, be self-supporting). To the extent that education is required for any of these, the state could be responsible for operating an educational system. In the name of the common good, the state could also certify the attainment of the minimal expectancies. Extending the logic of the argument for the common good further, it could be argued that the state, being responsible for some education (in the name of the common good), should be responsible for all education. The state could then specify a comprehensive set of goals which could vary with the changing temper.

If the state were to take responsibility for developing a state controlled curriculum, it would be possible to develop a single book to govern instruction in all domains in all districts. Countries such as Venezuela have state curriculum guides. The master plan for education contains detailed instructions as to what things must be "covered" at each grade level in each discipline. It is very short distance from this to that of prescribing how each lesson should be taught and to developing tests to assess the performance of teachers, schools, and districts in achieving such a curriculum. Under the U.S. Constitution the responsibility for education, since it was not assigned to the federal government belongs to the state. Accordingly, the state could specify the learning outcomes for every citizen.

In practice, in the United States, state legislators have tried to leave educational decision-making (and support) at the level closest to the citizen. They have, therefore, created local boards of education to make decisions about educational programming. This was believed to be consistent with democratic notions of individual control of ones own destiny.

Recent occurrences argue against local decision making with respect to educational goals:

1. Mobility. People are moving rapidly (20% of the population of the U.S. moves every year). Local decisions in one place may not prepare a citizen for life in another place.
2. Costs. Increasing high levels of government (with a broader base) are necessary to support the increasing costs of the educational enterprise. If all of those who contribute to the base for education do not participate in making decisions about it, then they are being taxed without representation.

In a world of increasing demands and shrinking resources, no person's decision can be made in isolation from the decision of other people. Nevertheless, it is conceivable that the values of local democracy will continue to be more persuasive than the value of the common good. In this case, local districts might retain responsibility for educational goal setting.

As was indicated earlier, the specification of educational goals is the first step in developing an educational system in a systems perspective. Once it is known what outcomes are expected it is possible to design processes to achieve the outcomes. Further, it then becomes possible to specify what inputs are necessary to actualize the processes. In a systems approach inputs are dictated by processes and processes are dictated by goals (outputs).

Educational standards

Educational standards are an attempt to establish certain functioning requirements for the educational system. Their purpose is to be sure that the rights of citizens are being served by the system. Referring back to life, liberty, and the pursuit of happiness, it is possible to perceive of a threat to life itself, existing in a school which does not meet certain requirements in terms of fire or health hazards.

Standards are different from goals. A standard may specify a level of process (25:1 pupil/teacher ratio, footcandles of light) or it might specify an input (teachers will be on duty from 8:30-3:30). A standard might also be set for the number of goals or the format in which they are to be worded.

Standards and goals should never be confused. Goals (outputs) may dictate that certain standards need to be set to control the quality of inputs or processes. In this sense, goals dictate standards as well as processes and inputs. For example, suppose, as a goal, it would be established that all seniors graduating from an accredited high school must be "functionally literate." Suppose further, that via an assessment process it were determined that only ⅔ of the seniors graduating in a given year possessed such literacy. It would then be feasible to develop standards for reading instruction:

1. K-12 developmental reading
2. One reading specialist per 100 students
3. 100 minutes of formal reading instruction per week.

In addition, it would be possible to begin to experiment with reading-teaching processes:

1. I.T.A.
2. Look-see
3. Phonics
4. Experienced-based approaches

These two sets of decisions might further dictate inputs:

1. More money for the educative enterprise
2. Libraries in every population center of 5,000
3. Pre-school screening to delay entrance of students who do not have an adequate experiential base.

Assessment as Measurement

Educational assessment is a management process which provides information about the extent to which educational inputs, processes, and standards are producing the educational outputs (goals) desired. Management processes, of course, can be undertaken at both the macro and micro level; it is possible to conduct an assessment at the classroom level and at the state level as well.

Implicit in any attempt to do an assessment is the requirement that measurement be undertaken. Measurement is the process of assigning numbers to quantities or qualities. Assessment is the process of assigning meaning to numbers generated by the measurement process undertaken. In measurement, two generic choices of metric exist: relative and absolute. In absolute measurement, the quality or quantity of a phenomenon is referenced to a criterion. For example, it is possible to measure distance in inches or centimeters, weight in pounds or kilograms, and temperature in Fahrenheit or centigrade degrees.

The fundamental problem with absolute measurement in education lies in establishing just such metrics with respect to knowledge, skills, and attitudes. Some knowledge contains built-in metrics (spelling, mathematics). Some skills contain built-in metrics—a basketball free-throw goes in or it doesn't. Attitudes rarely contain an absolute metric. One usually possesses an attitude to a degree. It is relatively easy to ascertain that a word has been spelled correctly, somewhat more difficult to determine whether the student can use the word correctly, and much more difficult to assess the extent to which the student can deal with the word's connotations. To solve the problem of the lack of an absolute metric two choices exist: (1) assign an arbitrary metric (70% correct means the child possesses the knowledge, skill or attitude), or (2) assign a relative metric (a child does more or less well than other children).

The use of the relative metric is a characteristic of all normative testing usually referred to as standardized achievement testing. In normative testing items are designed for maximum discrimination between and among individuals. This occurs when exactly 50% of the students answer a question correctly (the other 50%, naturally, answer it incorrectly). This fact is important because it means that test construction in normative testing (relative metric) is dependent upon the students taking the test rather than the content of the test. Relative testing produces relative scores. One student does more or less well than the other on a collectivity of items. In the extreme it would be possible for a student to do very well on a normative achievement test without, in fact, being able to exhibit the knowledge, skill, or attitude the test was designed to measure, provided that the norming group is sufficiently low.

Normative tests are sometimes given the appearance of yielding absolute metrics by converting raw scores into grade placement. To obtain a grade placement, one only needs to test a number of students at a given grade. The average score of this group can be set as the grade equivalent (40 right is equal to the average score for beginning 6th graders, therefore, 40=6.0). Since such equivalents are based on a relative metric, they, too are relative.

The critical problem with normative tests from an assessment point of view is that they do not yield an absolute metric. High percentile rankings, high grade-equivalent rankings, and good scores on a normative test may or may not be good evidence of the possession of a knowledge, skill or attitude. Both norm-referenced and criterion referenced tests can be used for assessment purposes. The requirement for using either is to determine, ahead of time, what are the decision rules for interpreting the results.

One final point, in some instances an attempt has been made to do an assessment in the absence of either relative or absolute metrics. The result is a melange of data which have little or no meaning. It is impossible to do an assessment in the absence of some metric.

The Discrepancy Model

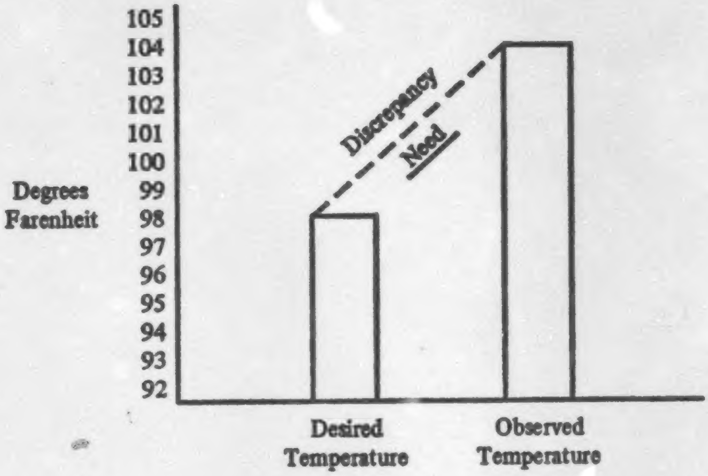
If a decision rule has been established with respect to assessment data prior to its collection, one is in the position to establish an educational need based on discrepancy. A discrepancy is the distance between the desirable (the level specified by the decision rule) and the actual result (as determined by the data). The discrepancy between the desirable and the actual is one definition of an educational need. In this way assessment can be used as a process for determining and prioritizing educational needs. For example, suppose it were decided that 90% of the graduating seniors in Wisconsin should be functionally literate. If the data revealed that only 60% of the seniors possessed such literacy there would be a 30% discrepancy between the desirable and the actual. This 30% discrepancy would be a need index.

Provus (1971) and Gottman and Clasen (1972) have presented clear arguments for the discrepancy model and its use in assessment-type evaluative activities. They argue that in the absence of a goal there is no "need". In the absence of a goal, there can only be a vague disquietude about the state and shape of things.

For example if one desires a child to be healthy and the child is having a vague feeling of illness it is impossible to help him/her. If we know that one's temperature should be around 98.6°, though, we have a goal. If we observe his/her temperature to be 104°, we can see that there is a discrepancy between our goal and the actual status. This discrepancy is the equivalent of a need (See Figure 6.2).

The same is true in education. Two conditions are necessary: (1) that a goal has been articulated as a desirable or 'ideal' status, and (2) that, using some metric, the actual conditions of education with respect to that desirable status are known. Any discrepancy between the actual and the desirable is termed an educational need and becomes the basis for making decisions about educational inputs, processes, or standards.

Fig. 6.2. "Need" Exemplified as the Discrepancy between Desired Status and Actual Status



Assessment and Local Control

The issue of local control and that of assessment are not the same thing. Assessment data *could* be used to inhibit local control but this is not a necessary outcome of the assessment process. Again the issue becomes that of determining why the assessment is to be done. A statewide assessment program could be a great service to local districts if it were so designed. It could also be designed so as to *preclude* the making of statements about individual districts.

On the other hand, assessment results could be used to single out districts for more or less state-aids or even for judgment about their existence. Assessment does not imply, necessarily, a loss of local autonomy. Nevertheless, if done at the state level, it provides a data base through which that could happen.

In general, assessment is an amoral, technical process for providing data which reduces the indeterminancy surrounding educational decision making. The next section will trace the history and status of assessments in the U.S. and in Wisconsin. What becomes apparent as one traces that history is why, particularly at the state level, assessment of achievement should occur at all.

History of National and State Assessment

National Assessment

The guiding purpose of National Assessment of Educational Progress (Womer, 1970) is to provide census-like data on knowledge, skills, and attitudes of American youth. They periodically test 9, 13, 17, and 26-to-35 year-olds in ten subject areas: art, career and occupational development, citizenship, literature, mathematics, music, reading science, social studies, and writing. Using a sampling approach, NAEP exercises are given to a random, stratified sample of at least 2,000 persons in each of the four age-level categories.

Current NAEP operations emphasize two major goals: (1) to make available the first comprehensive data on the educational attainments of young Americans, and (2) to measure any growth or decline which takes place in selected aspects of the educational attainments of young Americans in certain subject areas. Regarding goal two, it must be noted that since NAEP is experiencing some difficulty in educational practices, goals, and objectives, and the nature of the student population of American schools changes so rapidly, comparing the results of a 1975 assessment to results of a 1970 assessment is something like comparing apples to oranges. Schools, educational goals, and operational standards are not the same from year to year.

The National Assessment approach to educational measurement and to data interpretation and use is different from most previous programs. NAEP operations are based upon the following foundations:

1. Sampling techniques are used which do *not* allow reporting by schools, districts, or even states. Results are available only for

national evaluation and for major geographical regions of the country—Northeast, Southeast, Central, and West.

2. Assessment items are based upon identified educational objectives developed by both school and lay persons. Each NAEP objective must meet three criteria: (a) acceptability as educational tasks by the schools; (b) considered important by scholars; (c) considered desirable by other thoughtful citizens. Items are carefully written to measure each objective, and all items are reviewed by experts and field tested before actual use.
3. Age levels, not grade levels are assessed. Groups of 9-year-olds, 13-year-olds, 17-years-olds and young adults between 26 and 35 are tested; not 4th grade, 8th grade, 12th grade and college students.

NAEP exercises are composed of objective-based, multiple-choice or open-ended items. Following their own guidelines, NAEP personnel developed large numbers of test items, submitted them to rigorous review and pretest evaluation, and created tests which may be reported objectively. NAEP reports typically discuss each learner objective and show both average achievement levels and results of various groups.

Strictly *speaking* NAEP was conceived as a national on-going assessment project to trace changes in national student achievement patterns. However, its contributions to the design of many state assessment efforts will become evident in the paragraphs which follow.

Case Studies in State Assessment

As noted in the introduction to this paper, all 50 states have some form of statewide assessment. To appreciate the diversity, however, it is not necessary to review the assessment plans of all 50 states. The brief profiles which follow (Hawthorne, 1975) for Colorado, Connecticut, Florida, and Michigan characterize the promise, the individual differences, and the common problems of statewide assessment generally.

Colorado. State assessment in Colorado has been characterized by local school district control and the wide involvement of professional and lay people across the state. State law requires the specification of educational goals for children and these have been developed. Performance objectives are prepared by the local school district with "outreach" help from the state educational agency. Test items are also for the most part developed locally. Most important, however, state assessment in Colorado is conceived of as a process for helping local districts gather their own student achievement data so as to improve local instructional decision making. Assessment is not designed to answer questions of statewide achievement.

Connecticut. The intent of state assessment in Connecticult is to determine the achievement levels of the state's students. No attempt is made to gather achievement data for local school district reporting; in fact, only a sample of local districts is tested with any particular test. To conduct testing, Connecticut "piggybacks" on the NAEP objectives and items (piggybacking is a cooperative process wherein a state or school district uses NAEP objectives and test items in consultation with the NAEP staff.). Goal statements are not required for the assessment effort, and although they have been developed, it is not clear how they functionally relate to the assessment effort. In summary, Connecticut's effort at assessment can be characterized largely as an extension of the National Assessment for Educational Progress to provide data on state achievement levels.

Florida. Strong central control of statewide assessment characterizes Florida's efforts. Local school district participation is mandated by law and all results, both local district and state, are by law made public. Educational goal statements are not a required part of the assessment design in Florida; instead, many different curriculum areas are tested at a variety of grade levels. State performance objectives have been developed for mathematics and communication skills; performance objectives for other curriculum areas are borrowed from NAEP with some within-state modification by professional staff. Test items are largely borrowed from NAEP, also; some additional item writing is done within the state with the unique added feature that such items undergo a rigorous field test. Until recent amending legislation, Florida used multi-matrix sampling and criterion referenced reporting of results. However, by law Florida must now do census testing of all children at a grade level; moreover, state results must be comparable to a national norm. In summary, although Florida may not yet have settled on a firm state assessment model, it does appear to be drifting toward product accountability by local school districts.

Michigan. State assessment in Michigan is also characterized by strong central control. Assessment began initially with standardized tests. After four years, however, that approach was abandoned and an objectives referenced assessment approach was substituted. In Michigan educational goal statements are mandated by law, although again, it is unclear how such statements are to relate to statewide assessment. Complete and extensive lists of performance objectives have been developed within the state for mathematics, communication skills, science, social studies, music, art, foreign languages, physical education, and health. Test items related to each objective are also developed within the state with the help of local district personnel; items are then edited and field tested commercially. Michigan has also attempted to use assessment data as a management tool, linking the allocation of state aid resources to local results of statewide assessment. Michigan, too, appears to be moving toward local district product accountability, but with some additional effort to use data as a state management tool. However, the ultimate form of statewide assessment in Michigan is still in doubt.

A quick review of each of the four states should leave little doubt of the diversity of approaches. What is equally apparent in several of the states however, is that no clear understanding exists as to "why" statewide assessment is going to be done. In the description of Wisconsin's statewide assessment efforts which follow a similar confusion is apparent.

Wisconsin Pupil Assessment Program (WPAP)

In January, 1971, the Wisconsin State Legislature enacted a law requiring the Department of Public Instruction to develop and undertake a statewide assessment. The text of the legislation follows:

> 115.28(10) EDUCATIONAL ASSESSMENT. Develop an educational assessment program to *measure objectively* the adequacy and efficiency of educational programs offered by *public schools* in this state. The program shall include, without limitation because of enumeration, methods by which *pupil achievement* in fundamental course areas, as set forth in s. *118.01 (1)*, and other areas of instruction commonly offered by public schools, will be objectively measured each year. Assessment shall be undertaken at *several grade* levels on a *uniform, statewide basis.*

Then Wisconsin State Superintendent of Public Instruction, William C. Kahl, in January of 1972, appointed a statewide Advisory Task Force on Educational Goals. Kahl noted that ". . . the establishment of goals for Wisconsin's public elementary and secondary schools will be the basis and the foundation for a continuing program of statewide assessment—a program by which we will index the effectiveness of our schools so that we may report back to the people of Wisconsin and tell them what and how much our children are getting. The establishment of goals, therefore, is the first and most crucial step in the continuing effort for accountability in education" (Kahl, 1972).

Goals were generated by the Task Force, reviewed by experts, and scrutinized by the public. On November 15, 1972, the Task Force adopted their goals statement, and in December, 1972, published their *Final Report*.

Taking its cue from the enabling legislation, the state assessment program set out in 1972-73 to measure basic achievement in reading and mathematics as a first step. These initial assessment efforts were not, however, guided by the goals statement prepared in 1972. The reason for this harks back to the wording of the statute which mandates educational assessment. A careful reading and a literal interpretation of that statute would appear to preclude the conduct of an educational assessment based on the Wisconsin goals for elementary and secondary public education. The statute rather calls for an assessment of "pupil achievement in fundamental course areas." Fundamental course areas, in turn, refer to those curricula specified in state statute 118.01: reading, writing, spelling, English grammar and composition, geography, arithmetic, elements of agriculture and conservation of natural resources, history and civil government, and citizenship. Thus, to date, assessment in Wisconsin has tended to follow the path forged by the legislation enabling assessment and has had virtually no relationship to the goals statement.

As a pilot effort the 1972-73 academic year was devoted to instrument development, with testing taking place in May, 1973. *(Cf.* See *Wisconsin Learner Assessment: 1973 Pilot Year Summary Report*, Wisconsin Department of Public Instruction.) 1973 was termed a "pilot" year for two reasons. "First, it is the Wisconsin Department of Public Instruction's initial effort in developing a large scale statewide assessment. Accordingly, new technology and process had to be developed and implemented . . . second, the financial support provided by the Wisconsin State Legislature was commensurate with a pilot project, considering the magnitude and necessary supportive funding of a comprehensive statewide educational assessment effort." The first year pilot assessment identified three basic objectives:

1. To develop and refine the statewide assessment processes in Wisconsin including: a) instrument development, b) instrument administration, c) analysis, d) interpretation and e) dissemination of the results.
2. To provide a preliminary statewide proof of how well Wisconsin students demonstrate their knowledge and skills concerning some important aspects of mathematics and reading.
3. To develop baseline information for measuring progress over time.

WPAP staff decided to assess reading and mathematics at grades 3 and 7. Another early decision committed WPAP to objective-referenced instrumentation.

The Wisconsin Reading Committee first experimented with the CLOZE testing procedure developed by Bormath at the University of Chicago. Though many committee members felt that the CLOZE materials were useful, field testing in the Madison Public Schools revealed a lack of public confidence—inadequate "face" validity—in the procedures involved (Hanson and Hesse, 1972). Deciding, somewhat late in the developmental time period, that public confidence in state assessment would suffer from use of the CLOZE, the committee turned to an alternate plan involving materials from the National Assessment of Educational Progress.

A subcommittee found that "NAEP-released" exercises, referenced to NAEP reading objectives, were available for both third and seventh grades. The exercises were grouped into testing blocks. Pilot testing of NAEP reading items was necessary because they had been previously validated by use with the national assessment.

The Wisconsin Statewide Mathematics Assessment Committee, composed as was the Reading Committee of representative educators, found a readymade source of objective-referenced items. A seven-year project had recently been completed under Wisconsin DPI leadership which involved a set of over 400 content objectives, K-8, and related test items. This instrumentation source was used to develop the WPAP 1973 mathematics test.

The final assessment instruments consisted of five test booklets, each containing unique mathematics and reading items. Two books were designed for third grade use, and three for the seventh grade. Matrix sampling was used. 4,000 students were tested at the third grade level; 6,000, at the eighth. Test distribution and data analysis were performed, under contract, by Wisconsin Testing Service(WTS). Test administration proceded locally under the direction of DPI assessment personnel. Administration was standardized through the use of taped directions and careful timing.

Statistical analysis, conducted by WTS, provided the following information for each test item:

1. State Sample—the actual percentage of children in the sample who responded correctly to each item and each incorrect choice (distractor).
2. State Population—the estimated percentage of children who probably would have answered the item correctly if all the individuals at that grade level in Wisconsin had taken the test.
3. Region Population—the estimated percentage of children at a particular grade level in a region of the state who probably would have answered the item correctly if all the individuals at that grade level in the region had taken the test.
4. Standard Error of Measurement—an estimate of the variability of the score in repeated sampling with a fixed sample size and sample design.

Interpretations of obtained statistics were made by committees of educational professionals. Each committee interpreted general results, critiqued items, and wrote summary statements about general trends in the content areas. Two different, objective-referenced, interpretation systems were used. The mathematics assessment employed a criterion-based interpretation; the reading assessment a standard—free interpretation.

Mathematics objectives, test items, and performance data were organized by "themes," subject-matter areas. Within each theme were two kinds of test items, Priority I items dealing with objectives considered "essential for all students and minimum prerequisites for continued study of mathematics," and Priority II items dealing with objectives "which are essential but indepth mastery is not expected at this level." Arbitrary criterion levels of acceptability were established. Acceptable performance on Priority I items was defined as 75 per cent of the students responding correctly. Acceptable performance on Priority II items was defined as 50 per cent of the students responding correctly. Statewide or regional results could then be reported, objective by objective, in terms of whether or not students performed "acceptably."

Reading objectives were also grouped into content clusters, with reporting on each objective as well as on each area. Unlike the Mathematics Committee, however, the Reading Committee elected not to impose arbitrary standards. Theirs was a standard-free reporting system. Percentages of correct responses to each item and content-area trends were reported, but value judgments were not offered.

The results were widely distributed. Two fundamental criticisms should be noted. Concern was expressed that each objective was represented by only one item, and it has been agreed that both validity and reliability probably could have been improved by including more items. The second criticism involves the utility of findings. It is somewhat clear that an "unacceptable" score on a mathematics objective implies certain needs, but what does a score of 62 per cent on reading item 43.1 imply? In short, not everyone in the educational community found the assessment results of direct use.

The first objective of the pilot assessment proved to be the most valuable. The 1973 Assessment, a very large statewide measurement effort, was a logistic success. Instrument administration, data analysis, and dissemination of results proceeded with relative smoothness. The DPI staff demonstrated that it could conduct a full-scale, statewide assessment. Realization of the second and third objectives of the pilot assessment is much more in doubt. Opinions vary as to how useful the data are in either providing a profile or establishing a baseline.

Following the NAEP idea of assessing subject areas, two in a given assessment, WPAP set out to follow the Mathematics and Reading Pilot with an assessment of Science and Social Studies. (Plans have also been made to assess Mathematics and Reading again in 1975-76.) Grades four and eight again are the target.

The 1974-75 Science and Social Studies Assessment is scheduled for May, 1975. Instruments have been developed, and a matrix sample - very like the sample used in 1973, is being used. Results will be reported in much the same manner as in the pilot year. From lessons gained in 1973, the new assessment instruments contain several items for each objective. Plans are to use a panel of educational experts to establish criteria for each objective. Judgmental interpretations will be available to assist state educators in using the 1975 Spring Assessment findings.

Also during 1974, State Superintendent of Public Instruction Barbara Thompson pursuant to her vested authority, created and established PI 8.01 121.02 SCHOOL DISTRICT STANDARDS, commonly known as the "Thirteen Standards."

The working relationships between standards, goals, and assessment—as they presently exist in the state of Wisconsin—is at best unclear. It might reasonably be argued that meaningful working interrelationships do not exist. Whereas the standards represent "process" or "input" requirements, assessment deals with "outputs" requirements. But no management model to relate them seems evident.

In the early months of 1975, Wisconsin Governor Patrick Lucey responded to a general feeling that public school students, both locally and nationally, are not performing as well as they should in such basic skills areas as reading and mathematics. Moreover, it would appear that the governor could not find in the pilot assessment of 1973-74 data that were useful in allaying this rising general sentiment in Wisconsin.

In his Executive Budget Proposal, therefore, Governor Lucey suggested that assessment be revised. He asked for a 12th grade, summative accounting. The text of his proposal follows:

> **115.28(10) EDUCATIONAL ASSESSMENT. Develop and carry out an assessment program to objectively measure the adequacy of mathematics and reading programs offered by public schools in this state. All school districts shall annually test all 12th grade pupils in these program areas. The state superintendent shall compile the results which shall compare the performance of school districts within this state and throughout the nation. Results shall be reported annually to the governor and the legislature.**

In summary, at this juncture Wisconsin educational assessment stands at a crossroads. A pilot effort has demonstrated the feasibility of state assessment. It has yet to produce particularly useful data that some professionals and citizens of the state can believe. Meanwhile, state educational goals have been proposed and state educational standards adopted. What their relationship is to each other or each to assessment is problematical at this point. Moreover, what the role of state assessment itself should be is much in doubt. Hopefully, the last section of this position paper, by posing some alternatives for the future of state assessment in Wisconsin, will stimulate an open debate of the issues.

Alternative Models for Statewide Assessment

In the first section of this paper, a perspective of the basic concepts of state educational assessment was presented. Such concepts as a systems orientation, educational goals, educational standards, and educational assessment were probed. Interrelationships among these basic concepts were also delineated. In the second section, a brief history of a variety of applications of these concepts at the national and state levels was detailed. In addition, Wisconsin's efforts in state educational assessment were reviewed and critiqued.

The intent of this third section is to portray and critique four alternative futures for state educational assessment, goal setting, and standards legislation in Wisconsin. Before describing these four alternative futures, attention will be devoted to describing the prerequisite climate under which all of the models are most likely to be useful.

To be functional and successful a public agency must have a clearly defined mission, i.e., a set of management goals and a management philosophy for reaching those goals. It is not nearly so important that the goals or the philosophy be formally stated in some kind of document (although that may be necessary) as it is that they be "owned," both individually and collectively, by the employees of the public agency, its clients, any superordinate individuals or agencies that control the agency in question, and the citizens at large. In short, everyone must be talking the same language.

For example, if the employees of a State Department of Public Instruction perceive themselves as service and change-agent oriented while the State Legislature, to whom they are accountable both for legitimation and financial support, perceives the agency as regulatory, there will obviously be a conflict of perceptions and interests. Therefore, it is necessary to identify and discuss five basic issues relating to institutional mission that must be resolved before an assessment model can be adopted and implemented.

Issue One. Consensus must be reached as to what the overriding management mission of state government is, relative to elementary and secondary education. Figure 6.3 lists a variety of management goals which a state might have. Others could be added. While the people of the state are probably interested in having state government meet more than one of these goals, it is equally true that some of them are mutually exclusive. Others, while conceptually compatible, cannot be given equal emphasis and resources. For example, "To establish and control a relatively uniform curriculum" appears to be mutually exclusive with "To help schools become more responsive to local communities." Moreover, the goal, "To accelerate the process of educational change and adaptation to a changing society," while not incompatible with "To make education in the state more efficient and cost/effective," does present problems since the process of change is an expensive and often seemingly inefficient process.

Fig. 6.3 A Role Grid for the State Department of Public Instruction

	CONTROL	SERVICE
MAINTAIN	Control the level of expenditure for elementary/secondary instruction Establish and maintain minimal instructional standards Establish and maintain standards of professional behavior among state educators Establish and maintain minimal curriculum standards	To assist local districts in more effectively using educational resources To help local districts develop their own standards of educational quality
IMPROVE/ CHANGE	To make elementary/secondary instruction more cost/effective and cost/efficient To insure that students in the state acquire that basic education currently needed for societal survival Insure equal educational opportunity throughout the state	To accelerate the process of educational change and adoptive to a changing society To help schools become more responsive to local communities

Put another way, such alternative state educational management roles as maintaining quality, improving and changing education, controlling educational decision making, and providing service and outreach to local districts, while not mutually exclusive roles, are not completely compatible, either. Each of the four management roles mentioned: control, service, maintenance, and improvement cannot be given equal consideration in a state educational management plan. Certain roles must be predominant and others must be subordinate. At the heart of these issues is the current sociopolitical struggle to determine what balance between central statewide decision making and decentralized local initiative should be maintained. With increased state financing of local educational efforts it is only natural for the state to drift sociopolitically toward a centralized decision-making model for education in the state. The recently enacted thirteen standards for education, as well as the content of Chapter

89, speak vividly to this drift. Rather than drifting toward more central control of educational decision making, sociopolitical forces in the state should engage in an open debate of the pros and cons of such movement. To couch that debate in a discussion of what kind of state assessment plan we should have is to do a disservice to the assessment concept and fail to deal with the sociopolitical issue in an intellectually honest manner.

Issue Two. If the mission of the Department of Public Instruction is changing and improving education, it is vital that the staff of the Department reach consensus on a management model for managing curricular, instructional, administrative, and sociopolitical change in the local districts of the State. With the large number of elementary and secondary school districts in the state, the DPI faces no small task in attempting to influence the course, rate, and direction of educational change in each of those districts. However, before models for utilizing goals, standards, or assessment can be addressed, it is essential that a consistent philosophy toward the process of change be adopted. Once adopted, it is critical that each individual staff member of the Department routinely critique and examine his/her behavior to insure that it is consistent with the overall departmental philosophy toward the change process.

One model perceives change as a logical process that best occurs from the top down. Proponents of this approach to change, place considerable emphasis on strong central control, formal relationships as determined by line-and-staff charts and job descriptions, and the widespread application of such management tools as systems analysis, operations research, program budgeting, and management by objectives. Change itself in the lower echelons of the organization is dependent upon the coercive power that is brought to bear from the top of the organization.

Alternatively, change can be perceived as a psychological and sociopolitical process. This model assumes that changing institutions means changing people. Most proponents of this change model believe that people must be trusted and that they are willing to change if they are given the proper amount of support and some control over their own destiny. Considerable emphasis is put on decentralized decision making, i.e., placing the decision-making responsibility in the hands of persons who are closest to the data that can be used to make that decision. To a state agency for public instruction, this would mean the delegation of large amounts of authority and decision-making freedom to the local school district, the local school, and the classroom teacher. In this view, change is perceived as a normative reeducative process, hence considerable emphasis is placed on staff development and training.

Selection of one model does not lead to mutual exclusion of the other. It is possible to have components of both the logical change process and the psychological-sociopolitical change model operating simultaneously in an institution. However, it is equally true that one of those two models consistently predominates in the management of the institution. If, for example, the DPI were to choose the psychological-sociopolitical model as the predominant change process, it might well have to defer a planning, programming, budgeting system for the State of Wisconsin, since such a model could well be at any given time inconsistent with, if not antithetical to, the process of change occurring under the other model.

What has this to do with goals, standards, and assessment? Basically, one cannot select the appropriate assessment model utilizing goals and possibly standards until an internally consistent change model has been agreed upon by the DPI, its client school systems, the superordinate political power structure, and, ultimately the citizens of the State.

Issue Three. The decision to conduct a statewide assessment of education assumes that someone wants data for some specific purpose. Data gathered in the absence of a clearly defined need is an exercise in futility and frustration. Moreover, data gathered under such circumstances can do more harm than good. It is the prerogative of state educators who will make professional or political decisions, to determine what data must be gathered through an assessment to answer what needs. The determination of why an assessment is being conducted and what its objectives ought to be should not be placed in the hands of assessment technocrats, i.e., those persons charged to carry out the planning, data gathering, and reporting. The paradigm shown in Figure 6.4 clarifies who should have what role in building a model for state educational assessment.

While it is readily acknowledged that the State Superintendent symbolically retains authority to make all decisions relative to state assessment except as preempted by legislation, in actuality the decision-making authority should be delegated to that person or persons closest to the necessary expertise and data. Under the plan in Table 6.4, the DPI assessment staff and technical advisors do not recommend or decide on specific needs for a statewide assessment. They do not get involved until stage two when the development of assessment objectives is undertaken and here they share the responsibility with the program staff and representatives from the local superintendents and school boards.

While one may disagree with this particular model, it is not the content of this particular model which is critical, but rather the idea that

Fig. 6.4 Roles for State Assessment of Education in Wisconsin

	ASSESSMENT NEEDS	ASSESSMENT OBJECTIVES	ASSESSMENT PLAN	ASSESSMENT QUALITY CONTROL
Legislature/Governor	helps decide	helps decide	critiques	critiques
State Superintendent	decides	helps decide	helps decide	helps decide
DPI Administrative Team	identifies/ prepares helps decide	decides	helps decide	helps decide
DPI Program Staff	recommends	identifies recommends	recommends	critiques provides data recommends
DPI Assessment Staff/Technical Advisors		identifies prepares recommends	prepares decides	prepares identifies
Local Superintendent/ School Board Members	helps decide	recommends	critiques	critiques
State Teachers/ Professors	recommends critiques	recommends critiques	critiques	critiques
Citizens Advisory Committees	recommends critiques	critiques		critiques
External Consultants	presents alternatives	presents alternatives	presents alternatives/ critiques	decides

each stage of the assessment planning process, from the determination of assessment needs on through to the assessment quality control plan, must be carefully planned for and *should result in a plan document*. Moreover, equally important, the various individuals who are to be involved in each stage must clearly understand what, if any, role they are to have in that particular stage of planning.

Issue Four. In an institution, data have a defensible cost/benefit balance only to the extent that they systematically and intentionally influence decision making. Moreover, the decisions to be influenced by the data must be of a large enough educational or economic magnitude that they justify costs of that proposed assessment. However, before that cost/benefit assessment can be made, the plan for state assessment must spell out clearly how proposed decisions are to be influenced by assessment data, what other data or evidence will also be brought to bear on those decisions, and what political, ethical, legal, or economic constraints are placed on that particular decision. When all of these issues have been collected, it is then possible to build them into a series of decision rules.

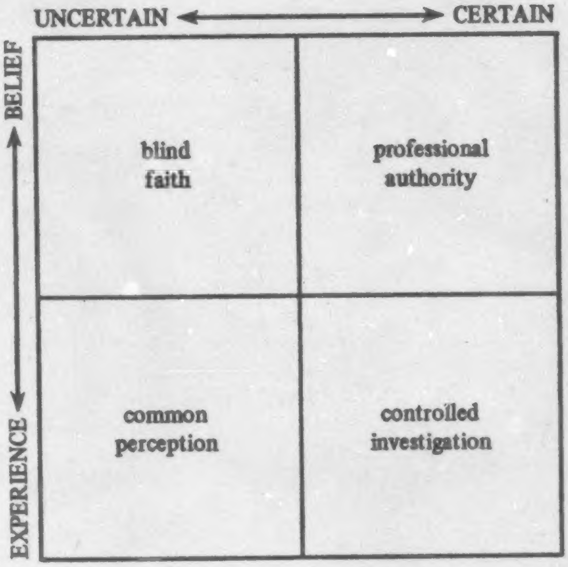
To insure that there is a logical relationship between assessment data, conclusions, and decisions to be influenced, it is desirable to hold a "dress rehearsal" in advance of any actual implementation of a statewide educational assessment model. Such a dress rehearsal using a gaming or simulation process would force decision-makers who are to use the data to determine the specific kinds of conclusions that they would find most helpful and the manner in which these conclusions are to be used to influence decisions. Such a rehearsal would also be valuable to the assessment staff in determining whether or not the plan as developed is defensible and will give decision makers the kinds of conclusions that they will find helpful. Womer (1973, pp. 16-24) describes to some extent the scenario for such a dress rehearsal.

Issue Five. Data have the capacity to be political; they can shift power and influence from person to person, interest group to interest group, and political power center to political power center. State assessment data have political power to the extent that they influence the distribution of power and influence in the state. If genuine assessment needs have been identified, the data that are ultimately gathered will address critical, sensitive issues. Consequently, all of those who are to be involved in the planning and decision making for the assessment process must recognize that, unlike basic laboratory or clinical research, staff assessment is not conducted in an antiseptic, objective, detached environment.

As the paradigm in Figure 6.5 suggests, people of every persuasion and every level of education have at least four different ways of knowing something. For example, their opinion on how well schools in the State of Wisconsin are teaching children to read can be based on blind faith, statements from professional authority figures, common perceptions based on their interaction with students or their involvement in schools, and finally the results of some kind of controlled investigation. Everyone uses all four ways of knowing. Moreover, each person puts more strength on certain ways of knowing than on others. Traditionally, controlled investigation has received less attention in education than the other three ways of knowing.

In fact, in the present climate the results coming from controlled investigation, e.g., a statewide assessment of reading, are almost immediately suspect—particularly if they are not consistent with the common perceptions, learned authority, or blind faith that people have regarding the issue. Thus, if data coming from a statewide assessment of education are to influence at all, particularly under situations where those data may differ from commonly held opinions, the data must be believable and powerful. Such power comes more than anything else from having a tightly knit, carefully designed plan for state assessment that has had wide involvement and input of various interest groups, that is documented, and that is public. Ownership of the model that is ultimately to generate the data is critical if the data are ultimately to be believed and used.

Fig. 6.5 One's Relationship With Reality



Earlier it was noted that assessment is useful only when someone needs data for some particular purpose. Assessment is in fact a tool and whether or not assessment is needed, and what kind of assessment model is to be applied in a particular situation is dependent upon some prerequisite conditions. Figure 6.6 presents a paradigm of assessment models. It can be noted

Fig. 6.6 A Paradigm for Assessment Models

INSTITUTIONAL ROLE

DATA MANAGEMENT STYLE	Controlling	Facilitating
Reactive	Institutional Accountability Model	Management Information Model
Proactive	Institutional Management Model	Program Evaluation Model

that both the institution's perception of its role and its preferred management style will control the kind of assessment model that is ultimately selected.

One should also examine two conditions regarding institutional role and management style. One's attitude toward data is what basically distinguishes between a passive and an active data management style. Administrators who wish to manage data proactively accept the relationship among such functions as planning, assessing, developing, and implementing. They accept the value of empirical investigation in helping to make decisions. They desire to be guided by data. On occasion they even wish to generate data to create sociopolitical pressure or dissonance. In essence, they readily accept controlled investigation as essential to the management process.

On the other hand, administrators who adopt a passive stance toward the management of data do not accept a systematic relationship between data, such as that which comes from an assessment of student behavior and such other activities as planning, evaluating, developing, implementing, or decision making. They are moved to gather data in response to outside sociopolitical pressure and when forced to engage in data gathering activities, desire to manage the data as much as possible so as to control and/or diffuse any dissonance that it might create. Finally, a passive administrator has little faith in data gathered through an assessment and can generally find no useful purpose for it.

The second condition which will determine the particular assessment model that an administrator selects is the institutional role which an administrator perceives the organization to be fulfilling. A state department of public instruction may basically play two roles: controlling or facilitating. The former is obviously a line or authority role and the latter a staff or service role.

Therefore, before selecting a model for state assessment, state educators must determine if these data are to be used to make controlling decisions, particularly regarding the operation of local school districts, or whether the data are to facilitate local school district decision making. It may be impossible to build a single assessment model that can both control and facilitate, since such a model will be viewed with suspicion by school districts.

Placing the controlling versus the facilitating role along one axis and the reactive versus the proactive data management style along another axis produces four cells (See Figure 6.6). Each cell identifies a different state assessment model. A reactive/controlling role suggests an institutional accountability plan while a reactive/facilitating role suggests a management information system. On the other hand, a proactive/controlling role logically leads to an institutional management system and a proactive/facilitating role to a program assessment service. In the paragraphs which follow each of these models is detailed and critiqued from a variety of perspectives.

Before presenting detailed descriptions of each of these four models, the eight perspectives along which each model will be considered must be described.

1. *A description of the model.* Basic to the consideration of each model is a description of its contents. Within that description consideration will be given to the intent, the operational objectives, and the procedures unique to each model.
2. *Underlying assumptions.* Each of the four models presents a somewhat different orientation. These differences can be discussed along four dimensions: first, whether it more likely invites a monitoring orientation; second, the extent to which the particular assessment model builds a trusting relationship between state government and local school districts; third, the extent to which the particular assessment model meets rational as opposed to political motivations for the use of data; finally, whether the assessment model is part of an overall management system or simply a descriptive mechanism isolated from other management strategies.
3. *Locus of political control and information utility.* Basically, this criterion addresses the issue of who controls the data and who is in the best position to influence and make decisions with the data. Moreover, the extent to which political power is shifted from one power center to another by the particular model in question is noted. Also noted is who in the state will find the information coming from this particular model for statewide assessment to be most useful.
4. *Relationship to educational goals and standards.* This paper started with a "systems" consideration of the relationships among goals, standards, and statewide assessment. As each of the four assessment models is critiqued, attention will be devoted to prescribing what possible, logical relationships exist between goals and standards on the one hand and the particular statewide assessment model on the other.
5. *Measurement, statistical, and sampling designs.* Normally, early in the life of a particular state assessment, project staff members must confront issues that include using criterion-referenced measurement models as opposed to normative-referenced assess-

ment models, whether to report means and standard deviations or simple percentages, whether to use more complex multivariate statistical procedures for parcelling out variability due to other kinds of variables, and whether the entire population at a particular grade level ought to be tested or whether some sampling design is appropriate. Each of these models suggests a somewhat different approach to many of these issues.

6. *Curricular and instructional implications.* One does not have to study the differences among the four models for very long before the implications which each model has for curriculum and instruction in the state become increasingly clear. One kind of model may lead inevitably to a statewide curriculum, another to instructional improvement, while yet another may have only a casual relationship to either curriculum or instruction. Thus, it is important to note the implications of each model for curriculum and instruction.
7. *Quality control.* Each of the assessment models to be described affects in far different ways the quality that the data gathered may have. Certainly contributing to that quality will be the amount of data that has to be gathered, who is gathering the data, and what their motivations are for gathering, supplying, and using the data. All of these contribute to problems of quality control.
8. *Planning horizons.* Every person and every institution perceives a span of future time over which influence or control is being attempted. For example, an administrator who wishes to have an assessment done at the eighth grade level because it can better help to change the curriculum for those eighth graders, has about a four-year planning horizon. Typically, educators are caught in the time trap, of thinking in terms of no more than five-year stretches into the future. Alternatively, one might wish to use data to influence what is going to happen ten or twenty years from now in education. Such a long planning horizon will necessitate a different kind of assessment model.

The four alternative state assessment models to be examined are: the institutional accountability model, the management information model, the institutional management model, and the program assessment model.

Institutional Accountability Model

A Description of the Model. An Institutional Accountability Model for statewide assessment views accountability as a demonstration or defense of product. The model assumes that educators in Wisconsin must demonstrate to their constituents, clients, legislators, and taxpayers that the instructional program is sound. In an effort to demonstrate institutional stewardship, state educational leaders use data as evidence for others outside the institution. The intent of this assessment model is political; thus, a distinct effort is made to provide only such data as is necessary to treat the political situation.

There are four basic operational objectives. First, student performance is assessed only in those instructional areas that are of most interest to nonprofessional people in the state. Thus, an assessment is likely to be limited to such essential subjects as mathematics, reading, basic writing skills, and basic study skills, since these are the familiar, emotionally laden basics of the curriculum in elementary and secondary education. Politically, if education is doing well in these, it is doing well, irrespective of what other goals it may or may not be reaching. Second, testing occurs at that grade level where active instruction in these skills has for the most part stopped. Thus, if formal instruction in basic mathematics skills is completed by the end of eighth grade, then the end of the eighth grade would be a suitable place to assess that particular skill. Third, the assessment would provide a comparison of the state's performance and, if necessary, each school district's performance with a national sample or with other comparable norming groups as provided by a testing company. District to district comparisons would be provided, however, only if the political climate required it. Fourth, assessment would occur only so often as is required by the political climate in the state to maintain confidence in education. Once every three to five years in any particular subject area would appear to be a reasonable time span.

Operational planning, test administration, and data analysis would be managed by a commercial testing firm using well-known, standardized measures. These measures could be selected by a blue ribbon panel that would include teachers, administrators, knowledgeable parents, and other state residents, as well as measurement experts. Each local district would be responsible for testing its own students under the guidance of a consultant firm. All students would be tested to permit district-by-district comparisons. The testing company would have the responsibility for analyzing the data and reporting back data break-outs as requested in the contract. For example, the contract might call for reporting results by the state as a whole; district; urban, suburban, and rural; or boy-girl comparisons. A small assessment staff in the Department of Public Instruction would have the responsibility of preparing test reports, presenting the assessment and its results, and assisting departmental public relations staff in the development of media releases.

Underlying Assumptions. There are several underlying assumptions of the Institutional Accountability Model. The model assumes that the role of assessment is to monitor performance and production for the benefit of important others outside the organization. This is very much in the spirit of inspectors who are checking on quality control and is seemingly congruent with the traditional industrial ethic. The intent, obviously, is to control in some fashion the quality of production and demonstrate that quality in a summative fashion to an external public.

Moreover, the assumption is made that state educators and school districts are not to be trusted. They must prove to some external source that they are indeed maintaining an adequate educational program. Moreover, this is a political model with an emphasis on providing data to political pressure points so as to maintain a power base that is favorable to education in the state. Finally, the assumption is also made that assessment is for purposes of description rather than management. In this particular model there is no attempt to build assessment into any systematic management model. Data are meant for other people to look at rather than for educational managers to use.

Locus of Political Control and Information Utility. Under the Institutional Accountability Model the locus of political control for assessment is directly and irretrievably with the DPI and the legislature. All of the decisions for the assessment lie in the hands of the State Superintendent and her staff. The model places school district administrators on the defensive if local data are reported in any comparative fashion. What is perhaps most alarming about the model is that it offers virtually no immediate impact on classroom instruction or students and has only a tangential relationship to the curriculum or the instructional program. Moreover, test data coming from such an assessment model will be of such a general nature that it is unlikely to pinpoint program needs.

Relationship to State Educational Goals and Standards. An Institutional Accountability Model for Statewide Assessment has virtually no relationship to state educational goals or standards. Since the particular tests to be administered would have a thematic relationship to only one of the goals, i.e., to basic learning skills, virtually none of the other goals would be related in any functional way to the assessment process. Even in terms of the basic skills goal, an assessment is likely to have only a tangential relationship since there is no logical, planned linkage between the goals and the particular test that is selected. For example, a goal of basic everyday mathematical literacy is hardly measured by a standardized mathematics test.

Likewise, educational standards, although providing at least on paper some guarantee of quality and equality of educational opportunity across the state, have no relationship to assessment. The assessment process will provide little data to demonstrate whether or not particular standards may have contributed to an improvement in student achievement as narrowly defined and generally measured.

Measurement, Statistics, and Sampling Designs. Since this is a highly political model, sampling is probably to be avoided; it would be advisable to test the entire population at a particular grade level, since sampling tends to erode public confidence. Statistics used to report out data should be kept simple; percentages of students scoring in each national quartile and such simple descriptive statistics as the mean, the median, and the standard deviation could be used, although the latter might be more appropriate for professional consumption. Wide use of bars and graphs should be made to keep the presentation straightforward. The actual test instruments should be nationally recognized norm-referenced tests such as the *Sequential Test of Educational Progress* or the *Iowa Test of Basic Skills.* Tests should be reliable and have face validity for lay people examining them. Above all, it would be wise to avoid new, unknown, experimental testing models which large segments of the public have not come into contact with as yet.

Curricular and Instructional Implications. Statewide assessment, under this particular model, may not be program-fair to local districts. For example, a school system which chose to implement broadly an open classroom instructional program, where students did not come into contact with the kinds of instructional exercises that are mirrored in objective test items, could approach this assessment model at an unfair advantage. Likewise, a school system which had chosen, for example, not to emphasize basic writing skills such as punctuation, capitalization, and usage because of a more broadly oriented conceptual communications framework, would be at a disadvantage, perhaps even forced by the data to abandon that program and adopt a more narrowly defined language arts program.

Although the measures would indicate to a school district or the state how well it was doing relative to some norm (national sample, another state, other districts), the measures are so broad as to suggest little regarding particular areas of that basic skill that need program revision. Moreover, an Institutional Accountability Model could lead to local district preoccupation with a narrow range of curriculum. Every school system would be tempted to place program emphasis and the allocation of resources into those basic skill areas to be assessed. Finally, such an assessment model, because of its political visibility, would discourage broad experimentation with curriculum or instruction and limit risk-taking.

Quality Control. Strict enforcement of quality control would be essential to the success of this assessment model, particularly if local school districts are to be compared. Because of the distrust generated by the model, quality control would be a particularly difficult parameter to assure. Teaching to the test would be an obvious temptation and some kind of program of state inspection would be essential. It seems obvious under the circumtances that students taking the tests would be influenced by the attitudes toward the model and toward the assessment procedures reflected by teachers and administrators. Since there would be little if any ownership of the assessment by teachers and administrators, they are not likely to be especially enthusiastic about data gathering. Moreover, if any assessment is attempted at the high school level, such a model would run into the attitudinal concern of many high school students. If all twelfth graders, for example, were forced to take tests, it might even be argued that the spirit of student rights would be violated by that request, since there would be nothing in the assessment process at all beneficial to individual high school students.

Planning Horizons. The planning horizons are indeterminate, since the influence of the model is really on the present situation. Local school districts might use the test data to make immediate alterations in program, although again it would be difficult for them from the data to assess what particular alterations ought to be made. With little direct relationship between state educational goals and the assessment data, little in the way of a "future" orientation is likely.

Management Information Model

Normally, educational assessment is thought of in a project sense; a particular assessment is planned and implemented and the resulting data are prepared in a report and disseminated. The assessment is over and planning commences on the next assessment. Coleman and Karweit (1972) present a conceptual alternative to this particular assessment process. As they note in the opening paragraphs of their Rand report, it is " . . . possible to erase the artificial distinction between administrative uses of information and research or evaluation uses." (p. 3) They go on to observe that:

> Administrative uses of information are uses for decisions, ranging from decisions about individual cases to general policy decisions. Research and evaluation in schools is also carried out to aid in such decisions. However, research and evaluation has ordinarily required collection of special data on a project basis at large costs and with uncertain value or policy decisions. The opportunity created by computerized data systems is to integrate research and administrative uses of information to aid in educational decisions at all levels (pp. 3-4)

A Description of the Model. Rather than tying assessment to a specific management plan with a complete set of goals and objectives, this model makes the assumption that administrators at a variety of levels in the decision making hierarchy of an institution require data. Moreover, the assumption is made that while it is possible in a general way to anticipate the data needs which individual administrators may have, it is not possible to go out on the spur of the moment and gather the specific data that a suddenly emerging decision situation requires. Thus, the intent of this model is to maintain a data base at all times that can be entered and analyzed to provide the necessary information.

As it relates to statewide assessment, this particular model would call for the construction and maintenance of a student achievement data base. A second linked, data base, including community demographic data, district statistics, school program data, and individual student characteristics, would be routinely and systematically collected. This integrated data base would be available to encourage investigation as questions arose during the course of decision making and planning. The data base would be available to the Governor and his staff, to the state Legislature, to the State Superintendent, and DPI staff, as well as to other legitimate researchers who were attempting to uncover educational factors that might be contributing to student achievement in the state.

Implementing a management information system for statewide assessment would require meeting the following operational objectives:

1. Determine the administrative levels in the state educational system where research might be a useful tool in decision making and policy setting.
2. For each level, identify the basic general data needs; determine which needs will be met by the model.
3. Develop a plan for systematically and accurately gathering, processing, and storing in a computer each of the variables of interest at each administrative level.
4. Administer all available National Assessment of Educational Progress measures to a stratified random sample of students in grades 4, 8, and 12 in the state.
5. Test in reading, mathematics, science, social studies, writing, citizenship, literature, music, art, and career and occupational development.
6. A public report of these assessment data compares statewide performance with national performance reported by the National Assessment of Educational Progress.

7. Aggregate such other variables as sex, race, socioeconomic level, and attendance for students taking the assessment; such variables as characteristics of teachers, curriculum, socioeconomic community makeup, average daily membership, enrollment size, administrative support, and support services for each school; and such variables as per pupil expenditure, tax base per pupil, and breakdowns of per pupil expenditures for each school district.
8. Establish policies and procedures for gaining access to the achievement data base.
9. Maintain a small department of public instruction service staff that would have as its sole responsibility the task of entering and analyzing the data base and providing written and tabular answers to questions raised by decision-makers.

Student achievement testing would be managed by the DPI staff, working in cooperation with the staff of the National Assessment of Educational Progress. To insure acceptance by the lay and professional community in the state, NAEP objectives and items could be judged for their face validity by a blue ribbon panel of educators in each of the appropriate subject areas.

The actual administration of achievement tests and the routine collection of other variables would be the responsibility of each local district. To insure some quality control in the testing process, school districts could have their categorical aid linked to successful conduct of the assessment.

Ready access to the collected data would require a sophisticated computerized data management system. This system could be purchased or constructed under contract by a computer software contractor. Such a system would have to include sophisticated statistical packages.

For the data needs of the local district, it would be possible to expand the size of the sample in the local district to allow for assessment and analysis at the local district level. It must be pointed out, however, that the design for state purposes would not include a sample large enough to permit the analysis or investigation of results for any local district. The position of a single school district would be analogous to that of a single student when a program was being evaluated.

Underlying Assumptions. First, a management information model monitors statewide educational performance in an ongoing, routine, systematic way. The data are not being gathered to address specific questions of student performance, but rather to build a data base that will allow for the answering of many different questions that are raised about achievement.

Second, this model tends to trust local school districts. The assumption is made that data are required for looking at a statewide picture of educational performance. The intent is not to spotlight the results of any particular local school district.

Third, a management information model provides a rational as opposed to a political model for statewide assessment. The focus in such a model is on probing, asking questions, stating hypotheses which can be tested, and raising issues that can be investigated empirically. No intent is made, in planning the original data base, to address specific political issues or questions. Rather, a rational data model would be available to address political issues if and when they arise.

Fourth, an assumption is made in the management information model that a descriptive model for statewide assessment can best meet the assessment needs of the state. If administrators in the state cannot determine by long range planning what achievement data will support the management process, then it is probably wise to maintain an archival management information data base that will support a variety of decision and investigatory needs. Such a data base is never constructed to answer any specific question, but rather to anticipate a range of future questions and decisions.

Locus of Political Control and Information Utility. Because there is no link to specific school districts, it is unlikely that local administrators, school boards, or communities would be threatened at all by the state assessment process. Data would be primarily of help in statewide policy making and decision making by the Legislature and by the DPI. If properly sampled, data might also be of use to regional CESA agencies. The design as such would be of little local value unless local school districts were to supplement the data gathering effort and increase the size of the local sample.

Relationship to State Goals and Standards. A management information system for statewide assessment plots no direct logical relationship to state educational goals, although an indirect relationship might be inferred, especially as a NAEP test for a particular curriculum area, having specific behavioral objectives by which to define it, could be cross-indexed with the state's educational goals. Overall, however, this particular model is not a very strong goal focused assessment process.

While this model provides no direct investigation of the relationships between imposed educational standards and changes in levels of achievement, the data base might be analyzed to determine what relationships within the educational process seem to be most powerful in affecting levels of achievement. Once empirically established, such findings could be incorporated into state educational standards. For example, if it were found that a direct relationship existed between the number of minutes of instruction devoted to reading in a year at the elementary level and the relative achievement of students in reading, it would be feasible to establish a state standard specifying the total number of minutes per year to be spent in that curriculum area.

Measurement, Statistics, and Sampling Design. Since an already available battery of program-fair tests based on a national project can be utilized, many of the issues of validity and reliability that might otherwise be apparent in a "home-grown" test production effort would not be significant issues. It is apparent, however, that routine assessments of validity and reliability ought to be conducted anyway to insure that these tests are valid and reliable for the sample upon whom they are being used. Moreover, given the NAEP measurement design it may be possible to aggregate some individual test items across behavioral objectives to create composite domain-referenced scores. Such scores would provide more reliable, powerful scales for relating achievement to other variables.

Sampling would be complex and could not be completely resolved until the particular data base and lowest decision making level in the institutional hierarchy were determined. However, it does seem likely that an individual school or school system could become the basic analysis unit rather than an individual student. Under such a conception the smallest possible student sample would be identified that could be used to characterize that school or school district. Obviously it would also be possible to use, at least to a limited extent, multi-matrix sampling to cut down on the amount of testing for any given student. Stratification by district, school within district, and possibly even individual student within school also would be necessary to insure maximum accuracy with the smallest sample.

Unlike the first model for statewide assessment, i.e., the Institutional Accountability Model, a management information model requires a powerful, statistical approach. In addition to basic descriptive statistics and simple analysis of variance techniques, it is likely that researchers will need more powerful, multi-variate procedures such as factor analysis, linear and multi-linear regression, canonical analysis and path analysis to investigate complex relationships among variables.

Curricular and Instructional Implications. Since this particular model for statewide assessment has a definite program objective base, it could have more appropriate implications for state curriculum decisions. Detrimentally however, the model would tend to move state curriculum towards the objectives framework determined by the National Assessment of Educational Progress. Moreover, it would tend to lock discussions of curriculum and instruction into a conceptual model that is largely oriented toward the basis disciplines. Finally, it would be of little utility in program improvement decisions at the local district level.

Quality Control. In a management information model there is unlikely to be at the local level any particular paranoia about the assessment process, since the sampling design would be so small that the local district could in no way be fairly represented. However, such a model would present another kind of quality control problem—indifference on the part of local administrative and teaching staff for whom the assessment has little meaning or utility. To insure quality control under these conditions it would seem essential to tie quality administration of tests by the local district to the receipt of certain kinds of categorical state aids.

Planning Horizons. A management information model for statewide assessment must have a somewhat indeterminate planning horizon because the data base lies fallow until some interested administrator accesses it. It is difficult to know what impact the model might have on the planning horizon. However, if used it would seem conceivable that it might provide planning and decision making direction for as much as 20 years into the future.

Institutional Management Model

During the last decade proponents of modern educational assessment have made much of the idea that data gathering is for the purpose of assisting in decision making. As Worthen and Sanders (1973) note:

> During the last decade new definitions of evaluation have emerged . . . of these, perhaps the most popular definitions are those in which evaluation is viewed as a process of identifying and collecting information to assist decision makers in choosing among available decision alternatives. (p. 20)

Womer, who has to date perhaps written the most definitive description of statewide assessment, notes that:

> Educational assessment is a program to improve educational decision making by securing information about the outcomes of education. (p. 1)

Worthen and Sanders (1973) further note that there are three conceptual camps among the educational assessment strategists. One group of theories is labeled "judgmental strategies" and include the models of Cronbach, (1969), Scriven (1967), and Stake (1967). A second set of strategies entitled "decision-management strategies" includes Stufflebeam's CIPP model (1971) and Alkin's five-stage model (1969). Finally, a third class of strategies is entitled "decision-objective strategies" and includes models by Hammond (1973) and Provus (1971). The institutional management model for statewide assessment proposed in the paragraphs which follow is a blending of models by Alkin and Provus.

A Description of the Model. An institutional management model for statewide assessment will be successful to the extent that it is a part of a total management plan for education in Wisconsin. Obviously such a plan must also include systematic assessment strategies for planning, developing, and implementing decisions. Alkin (1969) notes that there are five areas of evaluation in a decision-management plan.

> These five areas represent attempts to provide evaluation information to satisfy unique decision categories. In other words, there are evaluations necessary to providing information for decisions about the state of the systems. (We call such evaluations systems assessment.) There are evaluations necessary in providing information to assist in the selection of particular programs likely to be effective in meeting specific educational needs. (We call this kind of evaluation, which takes place prior to the implementation of the program, program planning.) There are evaluations necessary in providing information relative to the extent to which a program has been introduced in the manner in which it was intended and to the group for which it was intended (program implementation). There are evaluations necessary in providing information during the course of a program about the manner in which the program is functioning, en route objectives are being achieved, and what unanticipated outcomes are being produced. Such information can be of value in modifying the program (program improvement). Evaluations are necessary in providing information that might be used by decision makers in making judgments about the worth of the program and its potential generalizability to other related situations (program certification). (p. 2)

Thus, an institutional management system for statewide assessment is not possible in the absence of a total management plan. That plan must be visible (committed to writing) and owned (valued and lived by) by the State Superintendent, the complete DPI staff, the state Legislature, and the local educational agenices in the State.

Moreover, prior to planning an institutional management model for statewide assessment, the Legislature and the DPI must determine to what extent state government is to manage education in the State with a centralized versus a decentralized decision-making model. For example, state assessment data could be employed to influence state level decisions such as the nature of categorical aid to all local school districts, the content of professional certification, the nature of supplementary funding, or staffing patterns at the DPI. Such decisions do not affect any single school district, but rather impact collectively on all local school districts. Alternatively, the DPI and the Legislature could control not only these educational decisions just noted, but others as well that deal specifically with an individual local educational agency. For example, state assessment data could be utilized to implement the economic power equalization formula, to provide certain hardship districts with resource supplements, to guide small district unification, to set state instructional standards, to level certain sanctions on districts not meeting minimal standards, to set and guide the implementation of statewide curriculum or statewide instructional materials adoptions. Although no attempt is made here to suggest a greater level of central control over education in Wisconsin than currently exists, at the same time it is vital that those classes of decisions which are to be influenced by an Institutional Management Model for Statewide Assessment be targeted before a plan for assessment is developed.

The intent of the Institutional Management Model is analagous to what Alkin (1969) calls systems assessment. As noted earlier, the discrepancy model of assessment distinguishes between an ideal state and a real state in a decision situation. The ideal state is the prescribed goals which the institution or the manager of the institution are moving toward. The real state is the objective and reliable measurement of current performance relative to those goals. The distance between the ideal state specified by the goals and the real state measured by the assessment tool determines the extent to which there is a discrepancy (Gottman and Clasen, 1972).

For example, the current set of state educational goals represents an ideal state for education in Wisconsin. If these, in fact, are ideals, it is possible to set standards or criteria of performance that further define these more general goals for education in the state. The difference between these performance standards and the actual performance of students in an assessment represent a discrepancy of some magnitude. It is toward the alleviation of this discrepancy between the stated ideal and the measured real performance of students that the state can then begin to manage its resources.

Operational objectives for an Institutional Management Model for Statewide Assessment include, first, the selection and ratification of a set of educational outcomes or goals for children. These statements, though broad and philosophical, specify how children are to be different as a result of education in the state. These are not statements of how teachers or administrators are to behave.

A second operational objective would be to determine in advance of any additional planning what specific decisions relative to those educational goals are to be made. What kind and magnitude of decisions are state leaders prepared to make if a goal is not being met. A third operational objective would be the establishment of standards of performance for each stated goal of interest and the preparation of decision rules for judging the data once it is gathered.

A final operational objective would include developing appropriate assessment strategies—"paper and pencil" tests, simulations, observation, interviews, and graduate follow-up procedures, to determine the extent to which goals are being reached. Obviously, the particular strategy to be used will be dependent upon how the performance standard is stated. It is equally obvious from this operational objective, however, that state assessment under an Institutional Management System for Statewide Assessment is a much broader concept and includes more than just "paper and pencil" objective tests.

Once a set of educational goals for students has been owned by residents in the state, it will probably be necessary to set some goal priorities, since it is probably not possible to improve instructional programming in the state so as to eliminate all discrepencies for all 13 goals at the same time. Management of various goals will have to come in stages. To set goal priorities the DPI could concentrate first on those goals that are perceived through a systematic state survey as being of most value across the state and as requiring the most attention. A Delphi technique (Helmer, 1966) with a controlled state sample of experts and informed citizens might be used to set these priorities.

For each priority goal, as many as 5 to 10 performance standard statements would be developed. Such a performance standard represents the expected level of performance to be reached by state students. For example, one performance standard relating to a basic skills goal might read as follows:

> **Given a set of 30 applied mathematical skills required of adults in day-to-day living, Wisconsin twelfth grade students will correctly answer 25 out of 30 word problems that are typical applications of those 30 mathematical skills.**

An obvious problem here is what kinds of performance standards and what kinds of criterion levels are to be set, and even more importantly, "who" sets the standards. Some guidance can be provided for setting these levels by determining in advance whether or not the levels are to represent some minimal performance level that the state would expect all local districts to demonstrate they have reached, or whether the standard might be stated as a maximum level toward which all would be striving. Alternatively, multi-level standards might be adopted so that, for example, if 50 percent of the students in the state were able to meet the standard quoted above, that would represent "adequate performance"; if 80 percent reached the state standard, that might represent "good performance", and if 95 per cent of the twelfth graders in the state could get 25 out of the 30 word problems correct, that might be labeled "excellent performance." Each performance standard level could in turn be associated with an entirely different set of decision rules. For example, what the state might do to intervene when 80% of the students measure up to the task might be different from what the state would do if only 50 per cent measured up. But these issues can and must be resolved in advance of looking at any data.

Once goals, performance standards, and decision rules have been agreed upon, the rest of the process of data gathering, analyzing, and reporting is quite straightforward. Using the standards statements as guidelines, the assessment staff would either develop or select measurement instruments or procedures that were consistent with the rational intent of the performance standard. Since this particular model for statewide assessment has a product orientation, it would probably be most appropriate to assess at the twelfth grade level.

Because various data gathering strategies are required, conduct of the assessment could not be entrusted to personnel in local school districts. Although local professional personnel could be trained to handle the easier assessment tasks, most data would have to be gathered by a staff from the DPI or the local CESA agencies. Alternatively, it might be possible to contract with agencies such as the Research and Development Center at the University of Wisconsin or with Schools of Education in the University of Wisconsin system itself to assist in gathering these data.

Once gathered, assessment data would be analyzed by the DPI staff and a variety of reports prepared to meet the needs of decision makers. Additionally, the assessment staff would have to prepare simple media releases for public consumption.

Underlying Assumptions. The Institutional Management Model for Statewide Assessment is a proactive model; its intent is to improve instruction, curriculum, administration and educational climate. More important, however, its intent is to improve education for children by reducing the discrepancy between what children can actually do and what state educational goals suggest they should be able to do. Data are to be used directly and decisively to influence educational decision making. The trust/mistrust issue between local educational agencies and the DPI will to a large extent be dependent upon how centralized state management of education is made. Presently there is considerable balance between local decisions and those that are made at a state level by the legislature and the DPI. A proposed shift in that balance will generate mistrust on the part of local boards of education and their chief executive officers. This model does not require central control, but it does encourage it.

The Institutional Management Model for Statewide Assessment also assumes that a marriage of political and rational intents is possible; it assumes that rational management in a political climate is possible so long as the management processes are clearly spelled out and owned by everyone who is to be involved or affected. However, this assumption cannot be taken for granted because as Stufflebeam and others note:

> Decision makers are human too; they are not too anxious to confront some decisions, and they may prefer to "shoot from the hip" rather than to bog down in rationality. The fact that the rational model is so difficult to follow in practice, added to the fact that decision-makers may find it emotionally more comfortable to be non-rational at times, makes it seem quite improbable that a model of decision making based upon rationality will be valid for actual decision-making situations (pp. 16-17).

Finally, this model for assessment is based on the assumption that it is a management tool, not just a tool for describing the reality of student achievement. The systems model is a necessary prerequisite to acceptance of an institutional management model for statewide assessment. This includes the willingness to distinguish among inputs, processes, and outcomes of the educational process and a belief that systematic and rational information about outcomes can be utilized to improve the effectiveness of inputs and processes to the educational enterprise.

Locus of Political Control and Information Utility. Political control is almost exclusively lodged with the Legislature and the DPI under an Institutional Management Model for Statewide Assessment. Data are primarily of value for state level decision making. Although local districts could invest in the model for their own purposes and conduct local assessments, the intent of assessment is not to supply the local district with data. The intent is to assist in state level decision making.

Although this places the locus of political control with DPI or with the legislature, it is possible to change the manner in which state-level decisions are made so as to include a broader base of participation by citizens and educators in the state. This might be done either through a state educational board or through a management council reporting in an advisory way to the State Superintendent. Makeup of that management council could include a broad representation from the State Superintendent's office, the state teacher's union, school administrators, boards of education, and such community groups as the PTA. Such a council might also engender more grassroots support for decisions currently being made in a centralized way.

Relationship to Goals and Standards. The relationship to state educational goals, as already has been pointed out, is quite direct. Goals are the outcomes upon which state assessment is focused and toward which decisions are to be made. Statutory standards for education inputs and processes are interventions taken to direct or channel local initiative. They are in a sense interventions taken to improve the educational process where assessment has demonstrated a discrepancy between what children ought to be able to do and what in fact they can do.

Measurement, Statistical and Sampling Designs. Again, as was noted earlier, the performance standard statements for each of the priority goals will set the parameters for the measurements tools required to gather state assessment data. Unlike more narrowly defined state assessment approaches, measurement under the Institutional Management Model for Statewide Assessment will have to include, in addition to objective "paper and pencil" tests, clinical testing, simulation, gaming, observation, interview, and graduate follow-up questionnaires. Some of these tools may be borrowed or adopted from other sources. Others will have to be developed.

Since the data are for management purposes rather than political purposes, and since sampling can provide accurate estimates of population parameters, it is obvious that sampling would be appropriate. Moreover, multi-matrix sampling, a somewhat more complex and efficient sampling procedure, would hold down both the cost of student time and additional resources needed to gather the data. Sirotnik (1974) provides a very readable introduction to the concept of matrix sampling.

Finally, this model for statewide assessment would require a variety of statistical procedures, probably including everything from descriptive statistics for reporting results to the state community to non-parametric and multi-variate procedures that could be used to explore more sophisticated statistical relationships. Above all, decision makers who are to be a part of this particular approach to statewide assessment must have some facility with the technical issues of measurement, statistics, and sampling design so they can easily interpret the data they receive, have confidence in its meaning, and recognize its limitations.

Curriculum and Instructional Implications. This approach to statewide assessment views curriculum as a means to an end; the purpose of curriculum is to faciltate the acquisition of the state's educational goals for children. Any particular curriculum philosophy, traditional or progressive, that cannot systematically relate its objectives to one or more of the state's educational goals can have its own validity. The question would have to be asked: why is something which has no reasonable relationship to the state's educational goals for children being taught to children?

Conceivably, a goal-based management system could lead to new vistas for the design of curriculum in public schools, rather than a curriculum that continues to be dominated by the formal disciplines. It might also lead educators to examine curriculum proposals such as Berman's *New Priorities in the Curriculum* or Kohlberg's (1969) moral stages of development. If, for example as Berman suggests, valuing will be an important element in a new curriculum and, if in fact there are one or more goals that relate to valuing, it may be possible to examine the development of a curriculum for valuing rather than attempting to, in a cursory way, build valuing into traditional curriculum areas that are built around the formal disciplines.

Quality Control. The problems of quality control for an instructional management model are quite similar to the problems identified earlier for the other two models. Obviously, a lack of interest which local district personnel might have in the assessment program could lead at the twelfth grade level to considerable indifference on the part of students. This indifference would be injurious to the validity and reliability of the test and would not insure an accurate measure of twelfth grade student's proficiencies.

Quality control would also be difficult because some local school districts would experience considerable paranoia over the state assessment, particularly if decisions directly effecting local school districts were to be influenced by the assessment data. Student sampling will obviously help to control assessment quality and the involvement of the DPI and the CESA staff in data gathering would also be helpful. Perhaps as was suggested earlier, it will also be necessary to link some state aid to the assessment process to insure that districts comply with the needs for data expressed by the legislature and the DPI.

Time Frame. An instructional Management Model for Statewide Assessment implies a long range planning perspective. From ten to twenty years would not be an unreasonably long range perspective and a genuine use of this model for assessment would eventually lead to that long range perspective. Because of the large amount of inertia implied by state control and because state level decision makers are so far removed from classrooms and individual children, it would take at least ten to twenty years for decisions made at the state level to have an extensive impact on instruction at the classroom level.

Program Assessment Model

It is not difficult for proponents of a state educational assessment program to point to the one time or another in the literature have been variety of persons who need data. Mentioned at everyone from teachers and guidance counselors to principals, superintendents, boards of education, university schools of education, state departments of public instruction, state superintendents, state legislatures, and the public. Often times an appeal is made for a statewide assessment on the basis of meeting the data needs of all of these people. Womer (1973), however, puts things in perspective when he notes that:

> **No educational assessment program can be justified solely on the basis of gathering important information. The ultimate justification of assessment is that some legislator or some chief state school officer (CSSO) or some teacher or some principal or some other person does look at assessment results carefuly and makes some decision(s) or takes some action(s) that is related to insights gained from that information. Assessment is an educational tool; it must be used to be justified. (p. 6)**

Womer (1973) goes on to note that:

> **A multi-purpose assessment program that is designed to meet the needs for educational information of persons at all levels of educational decision making runs the risk of not really providing the information that is maximally useful for any one of them (p. 14).**

Alternatively, one can build a state assessment program that meets the information needs of a particular group of people in the state. It is the presumption of this particular model that local school district professional staff—teachers, principals, and superintendents are most in need of data and are most likely to utilize that data to make decisions. Thus, what is proposed is a state program assessment service that would provide a custom built assessment plan to each school district in the state.

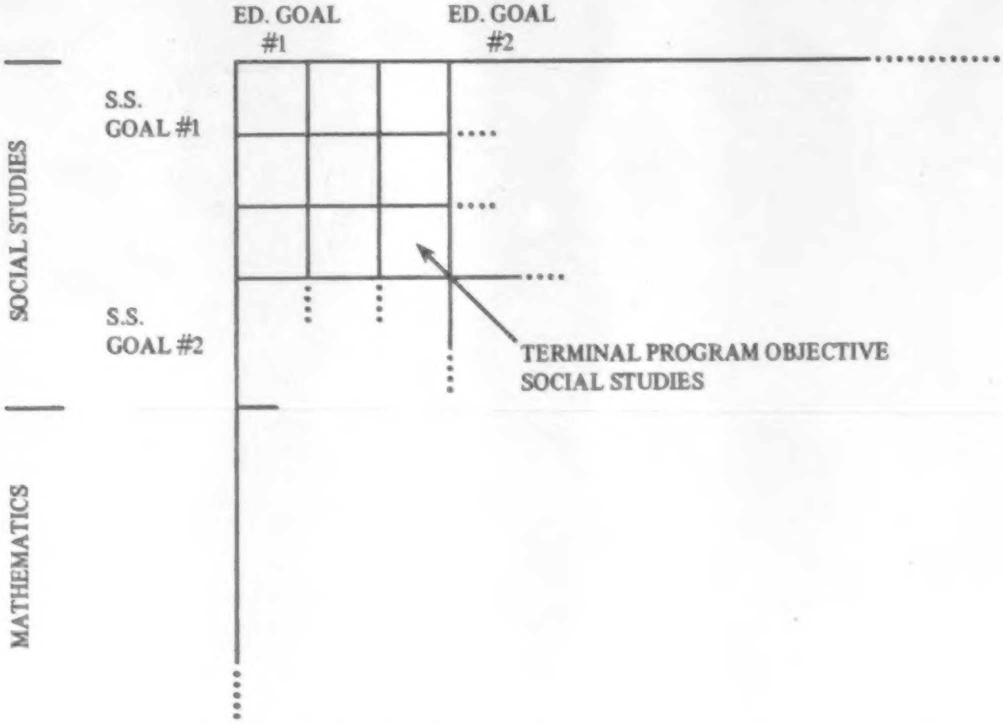
A Description of the Model. The intent of the program assessment service is to support a program of local school district assessments. Moreover, the model would custom design each local school district's assessment to insure that it is fair to the program of that local educational agency. It is not enough to provide a local school district with assessment data. Personnel in that school district must "own" that data as being a fair measurement of their program and being relevant to their current instructional needs and interests. Placing the local educational agency in control of what is to be assessed and how it is to be assessed would go a long way toward realizing those two conditions.

The model also presumes that the state will maintain the present decentralized level of educational decision making currently enjoyed by school districts or perhaps move even further in the direction of decentralization, encouraging those who are closest to the source of the data (i.e., to children) to make decisions with the data. The state legislature delegates this decision making authority to the local districts; the DPI provides the assessment service which encourages the sound data-based decision making by the local unit.

To meet the intent identified above three operational objectives are proposed. First, the state Legislature would mandate an ongoing local school district assessment program, the objectives and content of which are to be determined locally. Second, the DPI would develop and maintain a test construction service that allows for either educational goal assessment or traditional curriculum area assessment. Finally, DPI and the regional CESA agencies in the state would maintain a technical and instructional outreach staff to help school districts administer and interpret local assessment results.

A fairly complex development process would be required to place such a service on line. The first step would be to develop a large matrix (See Figure 6.7) of educational goals and curricular or content area goals, one kind of goal being identified along each axis of the matrix. Rather than selecting a definitive set of either type of goal such as the state of Wisconsin educational goals, the intent would be to identify all reasonable educational goals and curriculum goals. Next in each cell which defines the intersection of a particular state educational goal and a curriculum goal, it would be possible to identify a large set of terminal program objectives that define the expected behaviors of students within the parameters of the intersection of those two goals. Although seemingly an overwhelming task, much of the goal and terminal objective writing has already occurred; such statements are banked in various places across the country. The primary task would be one of (1) collecting goals and objectives, (2) assigning them to slots and cells, (3) editing and rewriting where necessary to obtain rhetorical consistency, (4) and writing objectives statements for any cells that are not sufficiently developed.

Fig. 6.7 Educational and Curricular Goals Matrix



The next step would be to collect a bank of test items, observation strategies, simulation and gaming techniques, clinical assessment techniques, and attitudinal surveys for each objective in each cell defined by the intersection of two types of goals. Obviously, the measurement procedures that are identified for a particular objective will depend upon the direction given by the wording of the objective. To insure ready access to the resulting files of goals, objectives, and assessment procedures, it would be important to develop a computer-based assessment construction and management system that would allow the generation of custom designed tests or other assessment processes after the local school district has determined its assessment needs. Another important ingredient in the success of such an assessment approach would be the availability of DPI and CESA "outreach" staff skilled in measurement, statistics, test construction, printing, report production, data interpretation and utilization, and program development.

To use the service, personnel from a local school district, working with outreach staff, would determine first whether they wished to do an educational goal assessment or a more traditional curricular assessment. They then would select the particular goals to be targeted in their local assessment effort and from a catalog select specific terminal objectives which define their program. After they had determined what specific assessments questions they wished to answer (again with the help of "outreach" staff), local district personnel would make specific decisions about the assessment design. Obviously many local districts would have to lean heavily on outreach staff for help in setting up sampling designs, determining the kind of test items or other assessment procedures which they have the resources to use, determining the test format, establishing procedures for gathering the assessment data, and training local staff to conduct the assessment. Moreover, outreach staff would probably have to assist in analyzing the data, writing up the preliminary report, and helping the local school district interpret its results.

Underlying Assumptions. A case can probably be made for the view that the more political a decision becomes the less likely that assessment data will have much utility in influencing that decision. If such is a reasonable premise, then one might reasonably conclude that assessment data will be most useful to those decision makers who are closest to children and under the least political pressure. It is also an assumption of this model that those professional staff furthest removed from the political arena of education have the least amount of inertia to overcome and are thus most likely, given good data they believe in, to initiate instructional change. Hence, the assumption of this model is that it is possible to use assessment data to bring about change at the local district level.

Second, the model assumes a bond of trust between the state legislature and its administrative arm, the DPI, on the one hand and the local school district on the other. The basis for trust is basically that the local educational agency will behave in a rational manner if sound data it "owns" is made available to it. The model also assumes that professional staff can be trusted to want to change if it can be demonstrated to them that change is required.

Third, this is a rational model for statewide assessment. Its chief drawback is that it would produce no data to deal effectively with state educational politics. Finally, although at the state level the assessment model is descriptive, in fact, the "critical mass" of a local school district working with a CESA agency or the DPI to make decisions about its own assessment should insure that the data would be used for local management purposes.

Locus of Political Control and Information Utility. Unlike previous assessment models, this model would give local grassroots control to the state assessment process. Consistent with such grassroots control, decentralization of a considerable amount of instructional decision making would be necessary so that the data could be used for local decision-making. The data would be of most value to local educational agencies, individual schools, perhaps even individual teachers who are attempting to undertake educational change. Although the DPI would exercise some control over the assessment process by virtue of the tool that is has available, it is the intent of the program evaluation model that the DPI would primarily fulfill an "outreach" service function.

Relationship to Educational Goals and Standards. The program assessment service supports a direct relationship to state educational goals, among others. Within the model proposed it would be possible for a local school district to evaluate its program based on the state's educational goals or some expanded set of goals beyond that. Perhaps of most interest, such an approach to state assessment could lead local school district personnel to consider curriculum and instructional programs in a new light; for example, they might decide to look at an educational goal such as critical thinking or creativity across a set of curriculum areas such as social studies, art, music, science, mathematics, and language arts.

At the same time, because such a state assessment approach would be localized and program unique, it would bear virtually no relationship to state educational standards. In fact, state input or process standards would be counter-productive since they would represent a state intervention and preempt any local prerogative for using its own assessment data to set local resource priorities. For example, a state standard mandating a health education program might run at variance with the priorities established by the local district as a result of the assessment data that it has gathered. To be forced to expend resources, time, and energy on health education when data had demonstrated another need could be dysfunctional and quite frustrating to the local school district.

Measurement, Statistics, and Sampling Design. Assessment strategies, whether they be paper and pencil tests, surveys, or observation techniques could be either criterion-referenced or norm-referenced. Norms would probably be indigenous to the state and would have to be built historically over time as various assessment items in the bank are used. Assessments of specific objectives or domain-referenced assessments across a sampling of objectives would be possible. However, considerable discretion and skill would be required by the outreach staff to insure that the particular assessment plan and measurement tools selected by the local school district were consistent with the school district's level of assessment skill.

A variety of statistics would have to be computed and maintained. Certainly item statistics relating to reliability, validity, difficulty, and discrimination would have to be computed as items are used and banked in the test generation system for future retrieval by other clients. Additionally, such statistics would have to be routinely updated as newer information became available.

Sampling would also be an important concept of the program assessment service. Not only would "student" samplings be encouraged, but "objective" sampling and test "item" sampling as well. Moreover, multi-matrix sampling would be encouraged. Above all, the sampling plan would help the local school district meet its assessment objectives.

Finally, designers of the service will encounter some difficulty in measuring certain objectives or goals. As Womer (1973) notes:

> . . . those who develop large scale assessment projects must not fool themselves into thinking that a cost/effective methodology exists for producing any information they may happen to want about educational outcomes. (p. 6)

However, considerable progress can be made beyond the traditional, limited assessment of "paper and pencil" skills, even though it may not be cost effective to measure certain specific goals and objectives.

Curriculum and Instructional Implications. A program evaluation model for statewide assessment has obvious implications for curriculum and instruction. Most importantly such a model would preclude any movement toward a statewide curriculum to which all school districts would be servile. Rather, the model would encourage local districts to develop curricular and instructional plans that meet the needs identified by their communities.

Second, because the local district is more likely to "own" the data it has collected, considerable program change would be stimulated. This is suggested because the local school district would be gathering data in its self-perceived areas of need and interest while at the same time receiving considerable outreach help to ease the local burden of having to attempt such assessment.

Quality Control. This particular assessment model would have few of the quality control problems normally associated with other more centralized assessment models. However, the program would present another kind of quality control problem. Because a variety of measurement strategies might be used in a local school district's assessment effort and because many local school districts may not have the technical expertise or trained teachers to implement these measurement strategies, it is possible that some fairly unreliable data gathering and data handling would occur. To alleviate such a quality control problem, the outreach staff, particularly at the CESA agency level, would have to operate an ongoing staff development program for teacher and administrative staff in local school districts to strengthen basic assessment competencies. Moreover, by serving as operational advisors to a local school district's efforts, it would be feasible for outreach staff to catch many of the errors that a local district might otherwise unwittingly make.

Time Frame. Initially, anyway, the length of the planning horizon suggested by this model would pose a problem, since most local school districts have a planning horizon of about 12 to 18 months, normally based on the budget cycle. A time frame of at least 3 to 5 years would be required by a local program assessment effort; thus initially assessment data would result largely in incremental changes. However, over time these data, gathered from a local assessment effort, would begin to lengthen the planning horizon of the local educational agency and lead toward genuine long range planning.

Summary

The position developed in this paper is that the intent of state assessment, state goal setting, or state standards adoptions cannot be determined or their relationships to one another constructed until purposes and audiences for statewide assessment are put into perspective. But perhaps more important than that, since assessment or goals or standards are merely tools for managing the educational enterprise in the state, prior consideration must be given to the management role and management style which state government is to exercise in its leadership of education. A review of assessment efforts in a sampling of key states would seem to suggest that, while some states have made an attempt to address these issues, no state, including Wisconsin, has addressed them adequately. National Assessment of Educational Progress provides no help in this regard either, for it is primarily designed as a descriptive bench mark of student achievement nationally and really was not conceived as having any overt relationship to decision making.

Four alternatives for state assessment in Wisconsin have been sketched in this paper. Each is considerably different in terms of its orientation toward the management process. The Institutional Accountability Model is a politically oriented assessment model. Its intents are primarily to meet the needs for product accountability required by a variety of interest groups in the state. Its relationship to state educational goals and standards appears nebulous at best. The second model, Management Information Model, gives state government a service role relative to state assessment. Here the assumption is made that it is not possible to directly link assessment information to either state or local decision making and that the best role that state government can play is to build a state assessment data base that can be massaged as the need arises to answer specific questions. Although a stronger relationship between state assessment and goals or standards is feasible in this model, there is still not a direct, planned relationship. The third model, Institutional Management, poses the strongest and most direct relationship among state educational goals, standards and state assessment efforts. This model makes the assumption that the purpose of state assessment is to aid in the management of education at the state level, that specific long term decisions of considerable magnitude need to be made, and that a management model, notably a discrepancy model, would be useful in helping to make those decisions. Finally, the fourth model Program Assessment, proposes a program assessment service to local school districts. The intent of this model is to decentralize educational decision making and place it in the hands of local educators while at the same time supplying them with the best available data for making those decisions.

Throughout this paper the importance of defining what management role state government is to have toward educational leadership has been stressed. Moreover, the point has been made that the selection of a state assessment model should not be the foil against which this issue of role is discussed. To do so does a disservice to the concept of assessment. More important, however, to do so is to fail to come to grips with the issue in an open, frank, and candid climate. In this paper no position has been advocated toward any single model. Rather, a position is taken favoring a sociopolitical needs assessment of educational management in Wisconsin. Such a needs assessment should be structured through the use of either a delphi technique or a series of benchmark conferences around the state to stimulate dialogue regarding a variety of questions. After all views have been openly heard, the state legislature, with the help of the DPI should fix a firm management policy statement relative to the management role and style of state government toward educational leadership. Questions that need to be discussed in such a sociopolitical needs assessment could include: "What is the management mission and what are the management goals of state government relative to education? What management strategies can the legislature and the DPI use most effectively to reach those goals? Should some of those management goals for education be superordinate and other subordinate? Are some of the proposed management goals contradictory?"

Once the management intent for education in the State of Wisconsin has been clearly determined, it will be relatively easy to select the appropriate model for state assessment. Moreover, the job of determining what data will be gathered to answer what questions or address what decisions will be equally facilitated.

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CHAPTER 7

Humanizing And Individualizing Education

Arthur M. Harkins

IN FEBRUARY OF 1960 THE RAND CORPORATION released a paper, "On the Epistemology of the Inexact Sciences", written by Olaf Helmer and Nicholas Rascher (1960). This now well-known paper cautioned the "inexact" sciences against emulation of the physical sciences, and urged an approach that we may conveniently label sociocultural design. This approach would convert the activities of the social sciences away from "hard science" emulation and toward research which would stress new forms of information flow and feedback among persons participating in sociocultural design experiments. While others have chided the social sciences for their slavish copying of textbook natural science activities, none, perhaps, have been so effective in their constructive criticisms as Wendell Bell (1971).

Bell and Mau (1970) believe that effective control should be the first hallmark of knowledge. Calling for the exercise of control over the generation of predictions, Bell and Mau follow the lead of Bertrand de Jouvenel and others in admitting that there are no future facts; instead, the future we desire must be *manipulated* into being. The role of prediction therefore loses its (rhetorical?) pre-eminence in social science and plays second fiddle to the larger directive of real (not simply experimental) control of the variables. The roles of both speculation and "creative imagination" in the control function are paramount, according to Bell and Mau (1971). For a new social science to emerge Bell has suggested (after Kuhn) that epistemological changes must occur within which the routines of science may produce new results. He labels the six "stages" of such scientific development (1) paradigmatic pluralism, (2) emergence of a unified paradigm, (3) normal science, (4) the beginning of doubt, (5) the scientific revolution, and (6) the new reigning paradigm — normal science again. In the epilogue to the *Sociology of the Future*, Bell (1971) outlines the primary features of "purposing" social science, a science of manipulation, design, and control (but a science that leaves room for creative imagination).

Starting with acceptance of the positions above, this paper attempts to demonstrate the importance of control in the experimental design of alternative sociocultural and educational futures, leading to expanded or contrasted opportunities for generalized and individualized education. This is accomplished through the further explication of theoretical, value/design, and research approaches, and through the development of six ideologically "mixed" types of sociocultural/educational scenarios. Both ideal and mixed scenarios are purposely "futurized," and are developed out of three *interacting* concepts of humanism. Also basic to the scenarios are the following:

1. *values*, or human preferences, and their basic importance in the past, present and future of the human condition;
2. *paradigma*, or the imagic/philosophic frameworks through which we view the world and process information about it and ourselves;
3. *models*, or working "blue prints" of the nitty-gritty, operational things we are about daily in education and elsewhere;
4. the importance of notions about *scarcity* and *abundance* which probably significantly influence *all* human values, paradigms, and working models of the world; and
5. the importance of sociocultural and environmental *context* to the *assessment* of, and *forecasting* and *planning* for, educational *inputs* and *outputs*.

We begin with several assumptions derived from the divergent viewpoint above on the epistemology of the social sciences.

Basic Assumptions

Three basic assumptions of this paper are as follows:

1. *Assumption One:* Cultures are *purposing cybernetic systems* controlling themselves and being controlled through information flow.
2. *Assumption Two:* Humans are the product of culture; culture is the product of humans. *Thus, "humanism" may refer legitimately to anything and everything about culture and behavior falling within the self-or other-protective interests of any person or human collective.*
3. *Assumption Three:* Culture is subject to design and re-design through a variety of methods.

Cultures as purposing cybernetic systems exhibit comparatively greater or lesser "automation" in particular institutions. People or other systems may be viewed in a similar way. To "progress" (become more complex and "survival fit" through provision of alternative paradigms among which to choose), cultures and other systems must automate and deautomate functions within *flexible* paradigms. Flexible paradigms (scientific theory, myths, supernatural thought, etc.) guide automation and de-automation. In our present circumstances increasing pluralism significantly complicates the information environment at the metalevel. Epistemologically, the environment is becoming more complex.

"Technology" refers to the relationships between means and ends. It has hardware (biotechnology, laser technology, human body technology) and software (nonmaterial) aspects. It is present (inferred) in every system (solar, simian, human). "Paradigmatology" refers to the manipulation of world view parameters. All software operates to control behavior. The critical question is: "What software for whose behavior to what ends and with what implications?"

"Power" is the ability to commit resources and to decommit them with minimal "loss" and maximal "gain." Power authorizes and deauthorizes. It plans and replans, designs and resigns. Some power extends to paradigm control (elites), and has a synergetic effect on gains in many parts of the environment. Some power extends to controls which give only localized, reactive "gains" — such as the philosophy of "poor but happy."

Attempts to enhance alternatives for concrete choice involve the use of sociocultural technology. Sociocultural technology in practice becomes a "problem" when paradigms generating past/present/future/"realities," desirable and undesirable, do not match up. In our type of society, the critical problem mentioned earlier becomes critical *problems* as more people become manipulatively, visibly, and widely involved in the cybernetic functions. Software/hardware developments are emerging to "deal with" conflicting states and change, but themselves will enter into complex feedback relationships, often of indeterminate dimensions and implications.

Sociocultural Design and Research Approaches to Alternatives

From the standpoint both of individuals and collectives, we may speak of:

Needs to know, Past, Present, and Future
Privileges to know, Past, Present and Future
Rights to know, Past, Present and Future
We may also speak of:
Amounts or proportions of information, Pa, Pr, Fu (e.g., 0 — 100%)
Degrees of access to information, Pa, Pr, Fu
Degrees of feedback to information sources, Pa, Pr, Fu
And:
Specialization effects on users, Pa Pr, Fu
Generalization effects on users, Pa, Pr, Fu
Sophisticating (Pluralizing, matrixing) effects on users, Pa, Pr, Fu

Negative feedback consists of that cultural information which acts to control deviation from cultural norms.

Positive feedback consists of that cultural information which acts to amplify deviation from cultural norms. Whether or not deviations occur, as in educational changes, and despite particular types, rates, and directions of deviation, changes tend to be viewed differently by different observers.

To express the ways in which different individual or collective observers may view the types, directions, rates and amounts of educational change, we may treat any event, person, law, or technology in terms of judgments about two control-related characteristics: *Essence* and *Influence* (Boulding from Polak, as modified, 1970).

Essence refers to the basic qualities of a phenomenon as determined by an observer, rated in Positive (+), Negative (—), Ambivalent (±), or Indifferent (0) ways).

Influence refers to the degree to which, if at all, an observer determines how influenceable a phenomenon is, as determined by himself/herself or specified others (also expressed in affective terms — +/—/±/0).

As shown in Figure 7.1, a matrix approach may be established for the assessment of any educational phenomenon, Past, Present, Future. The values inherent in the matrix approach to educational phenomena may be defined in three ways, each of which is consonant with the operational characteristics of real-world situations:

1. Values may be expressed in terms of valences, as in the examples provided by the matrix, +/—/±/0.
2. Values may be expressed in terms of abstract or concrete "reasons" or rationalizations for behavior in Past, Present, or Future contexts.
3. Values may be expressed in terms of elements in human working models of the world (world views or paradigms) and, in matrix form, as models.

How we employ these different approaches to the "nature" of values may be expressed as a function of the particular nature of our approach to sociocultural design and re-design. For many purposes, but not for all, we may assume that "the future is now." Following from St. Augustine, who pointed out that all Past, Present, and Future events can only be observed in the existential now, we can see how alternative interpretations of the past or of alternative futures can actually lead to pluralization of the present — the development of "alternative presents." Conventional interpretations of the "separate" times of past, present, and future also have their place.

The Past-Present-Future interaction dynamics outlined next are intended to suggest the power of St. Augustine's contentions for our present-

Fig. 7.1 A Matrix Approach to the Assessment of Educational Phenomona

PHENOMENON "X"

(Perceived Essence of)

PHENOMENON "X" (Perceived Influence Over)		+	–	±	0
	+	+ +	– +	± +	0 +
	–	+ –	– –	± –	0 –
	±	+ ±	– ±	± ±	0 ±
	0	+ 0	– 0	± 0	0 0

and future-day human circumstances. The questions which follow are logically derived from the assumption that many alternative futures exist now, together with many alternative pasts and presents, and that there could be nothing more practical than to study the interaction effects of these various realities in the interests of furthering human success.

Alternative Humanistic Paradigms

Following the initial basic assumptions three operational, *interactive* views of humanism may be identified, each of which treats perceived situations of abundance and scarcity of physical and cultural resources in different but related ways (See Figure 7.2).

A design approach to the various modes of utilizing any one or combination of the three types of humanism may be envisioned. Such a design approach makes possible a directly operational approach to the core assumptions. For purposes of educational design, the three types of humanism constitute distinct but interrelated "settings" for purposeful change in, theoretically, any directions,

Fig. 7.2 Conceptions and "Uses" of Time and Affective Responses to Perceived Influences of Time-related Events

Type of Attracting or Repelling Force	PAST ◄	►	PRESENT ◄	►	FUTURE	
	"Pushes"	"Pulls"	"Pushes"	"Pulls"	"Pushes"	"Pulls"
(Likes)	+	+	+	+	+	+
(Dislikes)	–	–	–	–	–	–
(Ambivalencies)	±	±	±	±	±	±
(Indifferences)	0	0	0	0	0	0

–Are status role images Past-focused?

–Are status role images Present-focused?

–Are status role images Future-focused?

–Is the past conceived Singly or Multiply?

–Is the present conceived Singly or Multiply?

–Is the future conceived Singly or Multiply?

including the expansion of educational pluralism. These are: local humanism, cosmoscentric humanism and noetic (intellectual) humanism.

Type I: Local Humanism

Local humanism places heavy operational emphasis upon loyalty, support for and responsibility to self, kin, community, nation, allies. A basic consideration in the moral structure (values) of this type of humanism is the "ethic of scarcity," or the concept of "limited good" — the conviction that there are not enough of certain key resources to go around, that some will lose while others will win in the competition for such scarce resources. Prone to privacy and secrecy outside the "in-group".

Type II: Cosmocentric Humanism

Cosmocentric humanism places heavy verbal emphasis upon certain purportedly global or universal metaphors, myths, and secular or sacred philosophies, which offer some or all men essentially rhetorical opportunities or fates, usually under "all things being equal" types of qualifiers. May be based upon an "ethic of abundance," but usually in an afterlife or a life to come after rebirth. The "ethic of scarcity" tends to pervade much of the worldly circumstances in which forms of cosmocentric humanism are expressed. Prone to privacy and secrecy when operating in Type I modes, but more open and often proselytizing when operating in Type II modes.

Type III: Noetic (Intellectual) Humanism

Noetic humanism places heavy emphasis upon the "ethic of abundance," as opposed to the "ethic of scarcity." Information-and-feedback-oriented humanism which assumes that "knowledge is power" and that all individuals should have maximum opportunity for personalized access to, and feedback into, all information banks of concern to them. An active, process-and-exploration type of humanism which acts to cut across both local and cosmocentric levels of humanism, respecting few or no barriers in the generation, transmission, storage and utilization of information of any type. The approach to "abundance" as opposed to "scarcity" is first informational, under the assumption that physical abundance depends upon maximum appropriate cultural abundance. No privacy and secrecy unless constrained by considerations generated by local or cosmocentric influences.

Sociocultural/Educational Scenario Development

Alternative futures in the design of sociocultural systems may be made on a comparative basis following from the assumptions and design approaches outlined above. One operationally meaningful approach to this task seems to lie in the preparation of those alternative scenario sets deriving from the three interactive types of humanism and their "logical" output of scenario ranges, as shown in Figure 7.3. From the matrix, which acts to generate nine theoretical varieties of interaction for the three "pure" types of humanism we have discussed, three "ideal-typical" scenarios of sociocultural and educational futures may be generated. These scenarios are heuristic or paradigmatic. They do not represent "plans," but offer an opportunity to assess present conditions and alternative futures in society and education against other hypothetical potentials. They are useful for the broader-gauge thinking which must precede effective normative (deductive) planning.

The scenarios also offer an opportunity to employ sociocultural and educational images in conjunction with the design process, in order to

Fig. 7.3 Alternative Scenarios Deriving from Three Interrelated Types of Humanism

	HUMANISM TYPES		
HUMANISM TYPES	I	II	III
I	I 1 I "pure"	II 2A I	III 3B I
II	I 1A II	II 2 II "pure"	III 3A II
III	I 1B III	II 2B III	III 3 III "pure"

provide for constant comparisons between our workaday activities and our images of alternative futures. The scenarios are "pure," in the sense that they represent a "logical" overemphasis of their particular virtues. The scenarios are purposely "futurized" because of the probable importance of certain hardware technological developments over the coming years. Much hardware may be considered "neutral" and transferrable from one scenario to another.

"Mixed" scenarios will be generated out of the combinations of characteristics suggested by the other six cells in the matrix, but the characteristics of the "pure" types of humanism which follow next were developed with technical-industrial societies and with continua from past/present-to-futurizing sociocultural and educational processes in mind. These descriptions prepare the way for six "real world" scenarios pertinent to societies similar to that of the United States.

Scenario I: The (Idealized) Fixed Knowledge System

Social Stability

In this scenario there is no search for solutions because officially, there are no problems. Individual and society are officially regarded as one. Personality and social status/role are regarded as isomorphic (identical). Unwanted diversity is dangerous and unnecessary. Negative feedback loops are everywhere, from the law through gossip and super-ego (conscience). Official goals are set by hierarchical subordinates who operate deductively after considering limited types and amounts of information. People who are not "approved" tend to be viewed as incompetent to assist in planning processes. Suspicion is generated by every potential or actual change in the status of individuals and groups, because the system operates on a hyper-developed scarcity ethic. Change of status suggests a threatening realignment of these scarce resources. Loyalty is paramount, and severe penalties as well as desirable rewards are readily produced for the disloyal and the loyal. Anxiety pervades the system; fear has been experienced by all; and terror is never far away. Official concern for the past and future is in terms of the problem-solving demands of the present, but mediated through the needs of hierarchical superordinates to survive and to enhance their own careers. Examples of the effects of the Peter and Paul Principles abound in the highest decision-making and planning circles.

Educational Model

Regarding education, there is great concern for "an" appropriate curriculum for each "level" of the highly controlled educational systems. Curricula are geared to the maintenance of preferred assumptions about religion, economics, politics, life style, and values. What is done "in school" is supposed to be directly useful "outside" the school in "real life." This means that the fixed system spends a great proportion of its resources preparing people for activities which might have been productive in the past or in the rapidly altering present, but not many emerging futures. Graduates of the schools are not seen to work in different futures, because all officially imaginable futures are merely extensions of the present, requiring but relatively minor modifications in the "capabilities" of graduates. Other institutions in the fixed system tend to support this point of view, so that the formal education system is never "out of step;" it is viewed by outsiders as "prudently" and "responsibly" preparing persons for the (largely fictional) future. As the larger system may refer to itself as "Mother Russia," so the local school, a part of the whole, may refer to itself as a "family" of teachers and learners, or as a "tribe" (Synanon). People are seen as things to be processed by the education system, which also processes ideas as things, particularly when there is some suspicion that they may be subversive. Official ideology is not placed in the same category as ideas, so that indoctrination without critical assessment is rampant. This type of system becomes stupid because it has rendered itself incapable of learning, and therefore incapable of teaching, in a great many areas. Its parochialism, fear of change and newness, and constant narrow preoccupation with "costs" force it into an acceptance of its own epistemological inadequacies. Because of this, its insecurities tend to increase as a function of inadvertent self-awareness of incompetencies in critical areas. It is a system which must affirm its own incapacities to learn, and it often does so while performing acts of psychic or physical violence for the "good" of all concerned.

Hardware

1. A television and/or radio is located in each room of each private home, recreation area and public service facility; these receivers are capable of two-way interchange with both auditory and visual capabilities. These receivers can be turned on or off at the discretion of the state allowing the state to monitor the behavior and speech of all residents, without their knowledge.
2. Receivers with the same capabilities are built into street and yard lamps which exist in every street and yard at close intervals, throughout the state.
3. Satellites with close-range viewing capabilities are continuously recording the quantity and quality of all resources throughout the world. The satellites also provide the state another check on its citizens through a combination of photographs and printouts from instruments recording pattern disturbances of any kind.

4. Machines, robots, and computers perform all tasks formerly done by humans freeing them for leisure activities. The governing elite is the exception.
5. Advanced communication technology and simulation devices have reduced travel and inter-personal contact. Large crowds are outlawed by the state.
6. A wired world allows the state instant contact with any point at any time on earth or any of its colonies. This network includes satellite and microwave transmission, light "pipes", cables.
7. Mini-biocomputers are installed in each individual at infancy, eliminating any chance of harmful environmental influence. All individual perception is interpreted by uniform knowledge base.
8. Pleasure buttons are also installed at birth which can be pressed by individuals for instant thrill. (Nelson, 1973, pp. 5-6.)

Scenario II: The (Idealized) Rhetorical, Limited Opportunity Learning System

Social Stability

In this scenario "democratic," means that some will always suffer at the hands of the majority, no matter who the majority may be. There is a constant public search for problems in order to "smooth out" the sailing of the social ship. The emphasis is upon order and good housekeeping. Limited allowance is made for the participation of citizens in various types of official information inputs and decision-making. The scarcity ethic abounds, but is modified by obvious gains in the well-being of many persons. One problem is that many persons in the system are convinced that they will never "have" anything until they have as much as the most privileged; hence, the *limited* opportunity system. Many types of gains in the system, unless "equally" distributed within very narrow time frames, create a sense of relative deprivation on the part of the have-nots. This problem tends to lead to the support of an ethic which stresses hard work and prudence leading to "reasonable" rewards in this life, and to extraordinary rewards in the afterlife. As the afterlife is part of the functional belief system of many persons, the mythic approach "works" to keep within limits the aspirations of persons who might otherwise become disenchanted to the point of social action. Hence, the *rhetorical* opportunity system. The rhetorical, limited opportunity system also controls opportunity perception through the management of the mass media and through the development of eliptical political language and posturings, usually to the accompaniment of familiar but manipulative "down-home" styles.

Educational Model

In this scenario there is concern for a "Christian" or a "human relations" rhetorical base for school process and curriculum, since these catchwords signal deferred gratification in the face of the powerful "givens" associated with social class structure, religion, belief in the afterlife, sex roles, programmed limited self-awareness, extrapolated life chance expectancies, and the like. The predominance of the work ethic predisposes most persons associated with formal education to look upon educational "output" in terms of employability factors — career education concerns, not educational career concerns. Scarcity ethic promotes anxiety over retaining teaching jobs, even though the information/computer technologies cause increasing pressures for automation of many or most white collar functions (and functionaries) in education. Fear is expressed over the "creeping" influence of CAI (computer assisted instruction), modular curriculum formats which reduce redundant teacher activities, broadcast television or CATV education, etc. Teachers and publishers alike "know" that too easy dissemination of their wares may make them obsolete before personal success or survival deadlines are met; college professors in schools of education assist by making knowledge "cost" in such ways as will trickle downward the "payments" for such knowledge. The key word for rhetorical, limited opportunity system is indeed "cost," measured in fiscal terms on the social surface, but in institutional and personal terms when the eyes and ears of the public are out of range. Lip service is paid to "innovation" and "risk-taking"; but most functionaries know that this is rhetoric intended to pacify the usually small proportion of vocal publics seriously concerned with educational reforms. Educational success is measured in terms of those variables which will publicly support the apparent merits of the formal system, casting doubt or blame upon "nonachievers" whose performances do not reflect well upon the a priori claims of the system to have isolated the most crucial variables of educational success. The rhetorical, limited opportunity system is especially pernicious because it gives the *impression* of being open to any and all kinds of new (or old) information when, in many cases, it has "learned" to promote such a "liberal" facade in order to enhance its own survivability. The system produces the seeds of its own torment through the accidental by-product of truly knowledgeable critics — persons and groups who have learned enough from the system to analyze and critique it comparatively, and who have at least the partial support of a social milieu prone to bandwagoning on social crusades. The system also produces its own relief, generally, through co-opting many of the critics into a search for their own educational legitimation through the very system they seek to change. The iconic referent for the rhetorical, limited opportunity system is the smile of reason — or of enlightened cynicism.

Hardware

1. Two-way interactive, broad-band communication system connecting every point on the globe with any other and to all space colonies. Each home has its own communication terminal which includes:
   a. interactive, multi-channeled cable television
   b. picture-phone
   c. computer - computer, man - computer, computer - man communication
   d. combination of keyboards, light pens, printers and electronic logic and storage
   e. video-take porta-pak
   f. quad-sound unit including receivers, tape-deck, speakers and turntable.
2. Satellite surveillance of earth to access resources at hand for equitable distribution and planning purposes. This surveillance would guarantee the success of every crop for ameliorative measures could be taken when needed. It would also eliminate any illegal weaponry by its electromagetic wave detection devices. The only weaponry allowed would be under the aegis of the world organization for emergency use only.
3. Personal book-sized computers alloted to each individual, programmed to his specifications.
4. Local resource centers include:
   a. Voice-programmed central data computers accessible through home terminal unit through a multitude of modes including light pens, television receivers, various combinations of keyboards and printers.
   b. simulation devices
   c. holograms
   d. completely equipped science and engineering laboratories
   e. theaters of different types
   f. musical instruments and sound reproduction equipment
   g. completely equipped artist craft workshops (Nelson, 1973, pp. 11-12)

Scenario III: (Idealized)
Open Information System

Social Stability

This scenario is based upon the on-faith assumption that the more knowledge people possess, the better off they will be, at least in the long run. Social system constraints are seen to be a function of the choices of a maximally enlightened, genuinely wealthy citizenry, governing itself through a rational dialogue uninpeded by vulgar concerns for status fixed roles, the limitations of democracy, or other common problems. Although some are more equal than others because their choices of participation style put them temporarily apart, every action may be observed and analyzed through a ubiquitous public information system which operates to protect citizens against specialists. The open information system reduces secrecy — and privacy — to a minimum. It is assumed that those who govern themselves best are those who are victimized least by ignorance and stupidity. Multiple, interactive levels of inmation flow virtually guarantee that no person or group can carry out private acts for longer than bare minimums of time, for one of the features of the system consists of a random polling of human settings, including the most intimate, with transmission of what is occurring to as many as millions of other citizens. Based upon the extreme likelihood that not even the most private act can be shielded against observation, persons act openly, within a comparatively small number of proscriptions, on their impulses, needs, and values. The good person is the person who attempts to hide nothing; graduations from good to bad are measured in terms of amounts of "dishonesty" as indicated by attempts at concealment. Within the ideological framework of the open information system many epistemologies reside and flourish. It is assumed that variations in life style accompanying epistemological pluralism are an indication of the system's vitality and survivability.

Educational Model

Education in the open information system is everywhere and nowhere. The entire system is based upon the notion that more information from more sources feeding into more and more people — who may respond to that information — is an inherent good, and a sufficient base upon which to build an entire society. The system already has developed CAI, satellite transmission systems, parental tutorial cadres, international travel, sleep learning, emotion transmission, and early childhood-to-grace experiences which constantly challenge the individual to greater heights of intellectual and collective diversity and sophistication. It is expected that people will live what they know — that intellectual diversity will alter epistemologies, and that this will lead to life style changes. A concern of the system is to develop telepathy — the direct connection of all members of the system on a real time, brain-to-brain basis — without the necessity of speech. Another important goal of the system is to extend its less exotic communication links to as many non-system people as possible on this world and nearby others where humans already reside. An adjunct of both these goals is the search for intelligence from distant star systems and in earth's own seas, in order to further the sophistication of internal and external dialogue among the system's citizens.

Perhaps the greatest efforts, though, are extended in two areas of difficult research and development activity: the enhancement of human intelligence through genetic engineering, and the creation of electronic devices with intelligence at least equal to the best of human capacities. Many members of the system dream of the day when hyper-intelligent humans may interact with artificial intelligences (AI) of human making, but enjoying social equality with the makers. All of these activities and many more are undertaken with the assumption that all knowledge is good, but that extreme care must be taken to monitor constantly how the knowledge is employed in the everyday affairs of the system.

Hardware

1. *Automated Inquiry Systems.* An automatic information-retrieval system, using a man/machine dialog to determine user needs, which can search its data base to present the user with specific information or "facts," rather than references to other sources.
2. *Automated Intelligence System.* General augmenter of human intelligence, capable of automatically monitoring ongoing streams of input data, coordinating facts, and making logical inferences to obtain insights and alert the human as appropriate.
3. *Talking Typewriter.* Voice typewriter, capable of converting spoken natural language into typewritten form in essentially real time, with an error rate equal to a human.
4. *Automatic Language Translator.* Language translating device capable of high-quality translation of text in one foreign language to another. (Both technical and commercial material.)
5. *Automatic Identification System.* System for automatically determining a person's identity by recognizing his voice, fingerprints, face, etc.
6. *Machine/Animal Symbiont.* Tapping the brain of a living animal such as a bird or rat to obtain preprocessed sensory inputs (visual, auditory, olfactory, etc.) to augment the capabilities of a mechanical device.
7. *Computer Psychiatrist.* A system in which the patient's written or verbal input is sufficiently understood that the system can legitimately counsel and advise the user for commonly encountered problems.
8. *Computer Arbiter.* A system in which adversaries enter their mutual complaints and the interactive system uses a data base of precedents and value rules to deliver either advice or verdict.
9. *General Factotum.* A robot servant, capable of smooth verbal interchange and versatile perception and manipulative activity in a household environment.
10. *Creation and Valuation System.* Capable of creative work in such areas as music, art (painting, sculpture, architecture), literature (essays, novels, poetry), and mathematics, and able to evaluate the work of humans. (Coles, et al., 1974, p. 6.)

Mixed Types of Scenarios

Mixed scenarios with possible real-world significance for today and tomorrow are now generated. These scenarios employ the fusing in logical combinations of the three ideal types of humanism (Types I-III) and their salient sociocultural and educational characteristics. Of basic concern as these scenarios were developed were the following Input ⇄ Output factors:

- I. Contextual Inputs: General Influence of the Sociocultural and Natural Environments
  - Prevailing value system characteristics
  - Perceived state of the economy
  - Perceived state of the natural environment
  - Perceived state of the built environment
  - Prevailing views of educational systems' successes/failures
  - Prevailing views of the most likely sociocultural/educational future
- II. Sociocultural/Educational Paradigms: Type I Humanism (Scarcity); Type II (Scarcity ⇄ Abundance); Type III (Abundance)
  - Public supportive roles (Inputs)
    - Political support
    - Financial support
  - Educational system roles (Inputs)
    - Forecasting
    - Planning
    - Programming
    - Personnel
    - Budgeting
  - Resulting educational model (Outputs)
  - Educational system roles (Outputs)
    - For the individual
      - Subjective impacts
      - Objective impacts
    - For the culture
      - Local/state impacts
      - Regional/national impacts
      - Global/transglobal impacts

In addition, these categorized questions were employed in the scenarios-writing process:

- III. General Interaction Processes
  - Is/was/will a person/group/situation perceived to be:
    - Process-generating?
    - Non-process generating?
    - Single-process generating?
    - Multiple-process generating?
  - Is/was/will a person/group/situation perceived to:

  - Confirming or disconfirming?
  - Crediting or discrediting?
  - Legitimate or illegitimate?
  - Imagining or non-imagining?
  - Extrapolating or non-extrapolating?
- Is/was/will a person/group/situation perceived to be:
  - Recognize self-existence?
  - Recognize other's existence?
  - Recognize self-existence as human?
  - Be relevant?
  - Recognize self-emotions?
  - Recognize emotions of others?
  - Be willing to affiliate?
  - Engage in dialogue (not monologue)?
  - Accept (not interpret)?
  - Affiliate?
- Is/was/will a person/group/situation perceived to be:
  - Sending important messages?
  - Sending important meta-messages?
  - Sending messages top-down?
  - Sending messages down-top?
  - Sending messages co-stream?
  - Sending singular messages?
  - Sending multiplied conflicting messages?
  - Sending multiplied co-confirming messages?
- Is/was/will a person/group/situation perceived to be:
  - An inquiry one?
  - A non-inquiring one?
  - A purposeful one?
  - A non-purposeful one?
  - An aware one?
  - A non-aware one?
  - A single-purpose one?
  - A multiple-purpose one?

IV. Goal-Oriented Processes

- Is/was/will a person/group/situation perceived to be:
  - Goal generating?
  - Non-goal generating?
  - Goal oriented?
  - Non-goal oriented?
  - Single-goal oriented?
  - Multiple (co-confirming) goal oriented?
  - Multiple (conflicting) goal oriented?
- Is/was/will a person/group/situation perceived to be engaged in goaling behavior by:
  - Real or ideal approaches?
  - Armchair or operational approaches?
  - Mass consensus or sub-group consensus?
  - Fixed or mutable approaches?
  - Indigenously developed approaches?
  - Non-indigeneously-developed approaches?
  - Mixed indigeneous-non-indigeneous approaches?
  - Deviance amplifying approaches?
  - Deviance counteracting approaches?
  - Design or "eolithic" approaches?
  - Evolutionary vs. system break approaches?
  - Prototyping or non-prototyping approaches?
- Is/was/will a person/group/situation perceived to be engaged in valuing behavior by:
  - Involving values as affects (+) (—) (±) (0)?
  - Involving values as world view components?
  - Involving values as rationalizations of past behavior?
  - Involving a search for separatism?
  - Involving a search for symbiosis?

Scenario II A: Cosmocentric/Local

Contextual Inputs

In this scenario a generalized rhetorical concern for scarcity exists, but is masked in part by the overlay of a cultural template emphasizing "progress" and "man's concern for his fellow man." In general, the adage, "It is better to appear to give than not to give at all," reflects the largely camouflaged approach to concrete help for persons and groups suffering from lack of services and other resources, whether within the local area, the country, or abroad. Since the recent spaceflights to the moon, a few persons in power are beginning to comprehend the development of a "global ethic" concerning food supplies, resource depletion, pollution, population control, and other problems, but these concerns cannot be said to have had much real influence in policy circles. Ongoing expressions of concerns for the global *problematique* continue to come largely from intellectual and social movement circles.

The economy is perceived to be in a reasonably workable condition, but sales of autos have begun a noticeable downward trend since the introduction of legislation to reduce their pollution effects. In addition, there has been a recent "brushfire" war that has cost many national institutions a good deal of their prestige and potential power as a result of generally negative public opinion: Among the effected institutions have been those concerned with formal education, particularly in the public sphere. A major concern of critics from many backgrounds is that the structure of public education is largely unaccountable for successes or failures, as few effective means to measure either are in existence, sufficiently valid, or generally employed on-site.

Sociocultural/Educational Paradigm

Experiments with "open" or "free" schools have left many persons cold in virtually all sectors of the population, often regardless of differences in social class and educational background. There is a general public interest in a return to the "basics," for a re-establishment of hierarchical authority lines where these have been blurred by attempts to placate student, teacher and community groups seeking changes. There is growing interest in ways to "streamline" educational structures and authority lines in order to cut costs and improve cost-effectiveness ratios. Yet, in all of this, there is support for public educational systems as being, by and large, the "best in the world;" there is growing interest in "spreading" educational services to populations not adequately served; there is a strong current of satisfaction in the idea of an imperfect system struggling to improve itself in the most efficient (but not terribly planned) ways.

The educational paradigm emanating from the public domain contains, then, several messages which might be said to conflict in rhetorical and operational ways. The education establishments, having been exposed to exponential growth in recent years, are entering a period of potential growth slowdown, and even the possibility of cutbacks in some areas. Clearly, this is an ominous sign to the "business as usual" public watchers in education circles. Yet, through all of this, belief in the efficacy of education *per se* continues, and spending continues to reach record highs in most public school systems.

Educational System Roles

There is no sophisticated planful response to these changing sociocultural conditions, because most decision-makers are still conducting business in terms of a recent growth period with certain (presumably) immutable characteristics. Early warning or lookout features of the educational planning/decision-making operations are virtually nonexistent or hampered by short time frames and narrow viewpoints. Huge inequities in educational services exist within and among the systems, but these are regarded as a likely part of the scene for a number of biennia — or even longer. Planning, programming, and budgeting go on as if the system were still in the period of its recent (and earlier) past.

Resulting Educational Model

"When things get bad enough to be noticed, they may need action at that point," is the best way to characterize the planning approach and its most common denominator where public educational systems are managed. It is management by problem-solving — after the fact, not before.

Educational System Outputs

For the children of the well-to-do, the lucky and the proper race or community, the education systems do comparatively well despite their lack of forecasting and planning capabilities. But it could be said that this performance is largely a function of forces not controlled by the schools. The spokes-persons for public education support the cultural myth that this is not the case, however, even as they recognize that the continuation of cosmetized inequities is one of the major sources of their general good fortunes. It is a case of good public relations versus oncoming change of unknown magnitude.

Scenario II B: Cosmocentric/Noetic

Contextual Inputs

In this scenario, a generalized, rhetorical concern for scarcity still exists, but is being altered in part by the overlay of a unique new transcultural template emphasizing "open information systems," freedom of association with others regardless of national background and other factors, and the establishment of a worldwide teaching-learning network using a single language. Sometimes dramatically, but usually with the subtly of legislated change, a foundation of basic supports for human beings is being constructed alongside the more commonplace rhetorical concern for the "human condition." Transcendental values are being expressed in places where decisions are made about new or augmented social programs, tax reforms, health care delivery systems, population control, institutional accountability, weather control, and the containment of weapons of mass destruction. Concerns about the world *problematique* are being operationalized everywhere, sometimes on the basis of technocentric values, sometimse on the basis of emulation of Chinese practices, and sometimes on the basis of other approaches. There is a clear shift in the direction of a world religious syncretism which appears to be gaining in influence and power almost everywhere. This syncretic activity has produced the beginnings of a new "image of humans' paradigm that could cause revolutionary changes in virtually every institution.

Sociocultural/Educational Paradigm

An open, eclectic concern for the quality of life in local, national, and global terms has generated an altered view in the definition of education and in the roles of teaching and learning in society. Both professional and lay planning groups and individuals are beginning to conceive of educational activities as synonymous with many other cultural characteristics, including those common to family life, to peer group associations, to on-the-job relations, and to many other spheres. While these changes are occurring, and while the geographic focus for a reconceptualized role for education is increasingly global, many "lags" remain in the overall sociocultural movement to accommodate to an abundance ethic for information and other resources. Much influence is still wielded by persons and groups wittingly and unwittingly promoting the cosmetizing of actual condition in society through the use of speeches, the mass media, the pulpit, and even the classroom itself. There is growing awareness of these conditions, however, and attempts are being made to contrast Pangloss with Candide through a variety of means, many of them educational.

The educational paradigm emanating from the public domain contains, then, the three-sided character of a dialectic: a thesis that to express concern may be enough (or all that can be done now); an antithesis that informational and other abundances may be possible; and an emerging synthesis in the form of fundamental but uneven alterations in sociocultural paradigms and policy, opinion, and decision-making circles.

Educational System Roles

There is a somewhat coordinated response to the changing sociocultural conditions, because many education professionals, as well as students and parents, have become members of the highly secularized Federation of Acronologists. The Federation consists of millions of persons from many other walks of life who are concerned about the maintenance and improvement of any and all forms of comparative intellectual complexity, whether living or not. Since the human race is determined to be relatively complex, although not so much so as the newly detected Epsilon Eridani electronic entities, members of the Federation support the use of human institutions to further, rather than suppress, improvements in the human condition. The discovery of intelligence elsewhere has provoked new philosophic developments which, with the help of Federation persons inside and outside the schools, are causing major reviews and changes in the curricula and, to some extent, the structure of the public education systems.

Resulting Educational Model

"When exhilarating and strange things become emphatic enough to be noticed, they probably needed better understanding before that point," is the best way to characterize the "rethinking" going on in educational planning and decision-making circles. The use of the dialectic approach in the context of the new themes of the Federation and the older cosmocentric themes have introduced intellectual/philosophical conduct to all levels of policy-making.

Educational System Outputs

Because of the changes occurring in the concept of the role of Sapiens, public education at all levels has became the action ground for consideration of the future of all there is or might be. The associated epistemological changes in policy and curricular areas have taken public education out of its follower role into one of leadership.

Scenario III B: Noetic/Local

Contextual Inputs

In this scenario, society is virtually polarized into directly opposing philosophical camps as a result of two recent developments: the generalization of atomic and certain "post atomic" weapons into virtually all developed, and many — if not most — developing countries; and the vast increases in human information-handling capacity as the result of "overleaps" in the design (and extremely cheap availability) of portable telephones with world-wide reach, a forty-channel international video/radio "peoples network," and implantable dime-sized computers linked directly to the human brain. The result of these developments is to put mankind in a delicate balancing act between extinction and undreamed-of intellectual and communicational growth. Nuclear and post-nuclear blackmail is threatened almost everywhere, however, including in the ghettos of some of the richest and most powerful countries. As a demonstration of their power and intent, the Milwaukee Bunch recently detonated a small ten-thousand ton "old style" fission bomb on the University of Wisconsin campus at Madison, killing, maiming, and condemning to radiation poisoning nearly thirty-eight thousand people. A freighter entering San Francisco harbor vaporized almost the entirety of Sausalito with a "post-nuke" cannon, radioing that their act was a "cleansing" of the earth. Families, communities, countries, and allies all exist in a state of panic or despair; there is no safe place anywhere, and no one can be fully trusted except the closest of kin and countryman. And yet, ubiquitously, words and images of every conceivable variety pour in and out of minds, offices, classrooms, strategy centers, and villages around the earth as a result of the new communications systems.

Sociocultural/Educational Paradigm

Planners and many elements of the public are caught in a dilemma for which the dialectical approach seems a puny tool. Information is everywhere and anywhere in such profusion and fidelity as never before imagined, even in the minds of most inventors of the technologies themselves. Yet, the most immediate need of the society seems to be to protect itself from the destruction that could be caused by massive use of the new weapons that have buregoned completely out of control. Educators themselves are caught in a dilemma with overtones mockingly similar to the "problems" suffered a few years earlier with the introduction of inexpensive pocket calculators into the classroom; now even languages could be "learned" by having the proper "computer chip" implanted. To "learn" all the languages of the world, the public in general now knew, would cost the equivalent of a single semester's tuition at a good private day school; to become a lawyer able to pass the bar of any state about five percent of that. Tax support for the schools goes unpaid in increasing numbers of communities with dissimilar socioeconomic situations, and children and older students are refusing to attend the "day care centers" or "prisons" they formerly called "school."

The educational paradigm emanating from the public domain calls for a use of the new electronic communications circuits, political structures at all levels, or, perhaps, fate to direct the future. The schools are virtually ignored in the rush to survive. They are literally a thing of the past, and there is no certainty of a future where they — or any other — might find new life.

Educational System Roles

With the loss of a reliable tax base and with increasing truancy and inattendance, the schools are in the role of an institutional anachronism. Literally, there is nothing for them to do but to assist in the burial of fragments left from a past which, if it did not seem perfectly secure, was at least the source of hope for continuity-in-change. But this has been changed with a vengeance: revolution in a number of senses. Uncontrolled growth of the very human cultural and intellectual capabilities which many public systems had supported, accompanied by another unforeseen technological mutation which seemed to cancel out the promise of the first as well as the future of Sapiens. There is an abundance of visions and voices, bombs and terror, but a scarcity of hope.

Resulting Educational Model

With the Tower of Babel already up and rising faster literally by the hour, and with armed families, communities, and nations preparing to face an almost impossible task of violence control, the model for educational planning and decision-making might be characterized as: "When things are so bad that it's hopeless, we'd best admit our fear of the future let it outrun us. *Fini.*"

Educational System Outputs

None. There is no hope of catching up because the old paradigms are totally out-of-phase, there is no community support, and almost every person is at one and the same time a god or goddess and a member of a species likely doomed.

Scenario I B: Local/Noetic

Contextual Inputs

In this scenario, society is mesmerized by the development of stupendous advances in the technological capability to communicate from person-to-person and group-to-group. Satellite systems, connected with light pipes and cables, have enabled the augmentation of older "air" transmission and telephone systems beyond the imaginations of virtually everyone save the most informed and imaginative of inventors, planners, technicians, and social visionaries. The result of this change in the capacity to communicate is the initial recognition of an emerging "global Village," connecting existing "local" interest groups, but assisting in the development of new "local" groups sometimes — and increasingly more often — conceptualized on multi-national and planetary bases. McLuhan's vision is coming true, with the emergence of heretofore fantastic "fictive" blood ties among communities, individuals, and groups from all over the world. One case in point is the development of a "brother-sister" relationship on ersatz kinship terms between the community of Anoka, Minnesota, a suburb of Minneapolis, and the citizens of a suburb of the city of Hanoi. Persons and groups from both communities are beginning to "relate" through the sharing of values, beliefs and life styles, including the sharing of languages. For all practical purposes, the new communications capabilities are eroding not only the "distance" between the two communities in geographical terms, they are eroding and synthesizing the cultural differences in the two settings, creating a "both/and" situation — a condition of greater pluralism than existed before, but within an atmosphere of continuity, consensus and harmony. An interest is present in change itself as a natural and welcomed part of life. Similar examples are occurring all over the planet.

Sociocultural/Educational Paradigm

Proponents of formal educational systems are in utopia. Never before has the supportive public been writ so large as to include, hypothetically (and in some cases actually), the various cultures of the entire planet. The new hardware systems, allowing stupendous diversity in communications ranging through digital, audio, video, emotion and thought transmissions, have created an abundance of substance to which educational expertise can be applied in the areas of packaging, access, storage, evaluation, and research. The publics supporting higher education — and they are virtually all publics everywhere — are aware of the tremendous capability of formal education systems to respond to "local" influence and control, as well as to supply expertise in the areas listed above. Hence, these publics have conferred upon education systems the power to assist in the support of existing local interests, as in the suburb of Anoka, as well as in novel emerging local interests, as in the new alliance set up between Chad and the peoples of New Zealand. In the latter case, both the countries involved see themselves as furthering their older local interests by establishing a new community of uniting two previously disparate cultures and populations in a unique "both/and" reality. The role of public education systems in the two countries is, for this purpose, staggeringly important. To this effect, a direct, firm, and loyalty-based mandate has been issued by the two governments and their newer "collective coalition" government to formal education systems. This and similar developments all over the world are operating on a new "local" paradigm incorporating the older definitions and images associated with local humanism, but employing a far more sophisticated capability to re-define local interests in startingly new terms.

Educational System Roles

With the importance conferred upon formal education as a direct result of the new communications devices and their sociocultural effects, the schools have achieved an importance comparable to that once enjoyed in the United States at the time of heavy immigrant inflow to that country. The schools are viewed as the source of sorely-needed expertise in how best to handle and make the most use of humanity's new capabilities. The schools are seen as basic to provision of the expertise required for the strengthening of the local interests already in existence, but, just as importantly, to assistance in the building of many new local interests on global and lesser scales. The schools are bathed in an atmosphere of abundance and are contributing to that abundance themselves.

Resulting Educational Model

With the tower of Babel already up and rising faster literally by the hour, and with secure, confident, and change-welcoming families, communities and nations preparing to face with joy an almost unlimited future for the human family, seen in many perspectives, the model for educational planning and decision-making might be characterized as: "When you find your liberal commencement speeches coming true despite 'reality,' you'd best reassess reality and get on with it."

Educational System Outputs

The future-focused status and role images for formal educational systems are unlimited to the extent that they can stay ahead of the game in those areas where their expertise is clearly present and needed. They must also develop newer capabilities in an area most often neglected by them: substance.

Scenario I A: Local/Cosmocentric

Contextual Inputs

In this scenario, society is based upon an ethical system more attuned to the agricultural era than to the industrial or post-industrial. Autocratic and gerontocratic power politics prevail in all institutions, including the family. Women are given little real support by men for making changes in their second-class citizenship status, non-Caucasians are the first to be laid off or fired during economic distress (as they were the last hired, and usually under duress), and young people mourn the years spent earning degrees qualifying them for little in an age of rapid market turn-over and fluctuating economic conditions. Hierarchical leadership images and structures lead to a "filtering" of ideas for change, problem-solving and new visions or metaphors, whether in the churches, the government, the family, or the schools. What planning that does exist in the society is based upon outworn paradigms from the past or impossibly narrow paradigms from the present and "future." Future-focused role and status images in the society must pass the test of "realism" to be approved; hence, most role and status images with future implications are needlessly creating more problems than they are solving because they are limited by the conventional, official wisdom of the day. This goes largely unrecognized, however. Repressive changes in psychological approaches to reality, past, present and future are accompanied by direst—and increasing—official attempts to portray a "responsible" version of reality through propaganda approved by the Ministry of Settings. The Ministry works closely with the churches and schools, as well as the media, to portray a "vale of tears" version of the world coupled with a "creative muddling through" approach to problem detection and solution. Problem-creating influences, such as new ideas, are abhorred and suppressed. A sloganized summation of the society's condition is: "Ask not what your society can do for you, but what you can protect your society from facing."

Sociocultural/Educational Paradigm

With the enormous amount of energy devoted by society to the restriction of reality assessments within an approved range, public opinion surveys can be the sources of real upsets for officialdom. Hence, the Ministry of Settings approves any and all surveys of public opinion, ensuring the continuity of data supporting the "good social ship in (temporarily) rough waters" image. The public, while skeptical of some of the reported opinion findings, finds itself essentially convinced by the Ministry-controlled media, churches and schools that the surveys do, in fact, paint an accurate picture of a scarcity-focused society on the way to better (but not spectacularly better) things. The social class system is pyramidal and directly maintained by the tightly controlled public image of reality as well as the bureaucracies of church, government, and school. The role of the family in maintaining the approved social image is harder to guarantee, but a system of tax rebates for "model" families exhibiting "prudent" regard for the "progress" of the society helps a great deal. In general, public support for formal education is manufactured by manipulation of data and values. A pluralism of "approved" educational alternatives for young and old allows persons to continue their schooling indefinitely on some basis, even though there may be no occupational rewards directly attending this activity. Before his imprisonment for observation and retraining, one rare critic had maintained that educational abundance was a rough equivalent of the "bread and circus" of the old Roman Empire—a sophisticated device to keep persons busy with "self-improvement" activities calculated to drain time and energy from potentially critical or explosive sectors of the population.

Educational System Roles

There is a deceivingly broad range of alternative educational *formats* available within the socially approved ethic of nearly across-the-board scarcity. Formal education systems are empowered and encouraged to offer many different types of access to all levels of learning in their various repertoires. However, it remains to a Council of Substance, controlled by the government but composed of representatives from formal education, the churches, media and the family sector, to determine *what* shall be learned. The Council of Access, similarly peopled, has a virtually unlimited range of choice over alternative access routes that may be selected by learners and teachers, while the Council of Substance is far less burdened with choice. Nothing can be allowed by the Council of Substance which would cast doubt upon the efficacy of the society's institutions or incumbent bureaucrats, nor upon the belief that "the more things change, the more they remain the same, only a little better."

Resulting Educational Model

"I heard the ostrich call my name," is the best way to sum up the educational model in this type of society. It is a "hear not, see not, do not" system permanently on its knees to definitions of reality—hence curriculum—coming from official sources. It is totally incompetent in substantive areas, but exhibits occasional genius in formating access routes. Unfortunately, in this society, educational achievement via any route is largely honorific.

Educational System Outputs

Education is in the role of the court musician whose scores are composed by unseen masters. It is the education of honorless followership in the interests of vulgar "contributions," "citizenship" models, and falsehoods.

Scenario III A: Noetic/Cosmocentric

Contextual Inputs

In this scenario, society has reached the point, via the introduction of practical fusion power, intelligent machines, automated home robots (for cooking, cleaning, repairs, serving, etc.), and a vast array of social reforms providing "bare maximum" services and resources to everyone, wherein poverty from nearly all physical wants has been eliminated. All that remains is to eliminate the final scourge: "relative" poverty caused by social differences perceived as unfortunate, on some policy-level and many subjective-level bases. Intelligent, automated "mixed" transit systems whisk people wherever they wish to go at relatively low cost; automated hospitals diagnose and treat at a fraction of the discomforts common in the past; personalized television sets convert images and voices to depict personal acquaintances appearing in nationally famous programs; newspapers and mail are "delivered" electronically via fiber optics; life expectancy has been doubled to over one hundred-fifty years; sophisticated simulators enable people to experience directly the actual sensorial realities of others nearly anywhere, either "real time" or on a delayed basis; cosmetic surgery and cybord techniques have erased most of the perceived physical ugliness in the society; everyone has access to all the world's knowledge, constantly updated, in hand-carried and implanted computer chips; intelligent, real-time autopsychoassessment is carried out by everyone mostly without regard for costly and time-consuming individual or group therapy; life-style and value system pluralism is so developed as to tax heavily social scientists and others attempting to catalogue, analyze and disseminate this information.

Sociocultural/Educational Paradigm

The main problem of the society is to manage the disappointments resulting from "overchoice" on the part of nearly every citizen. Even with sophisticated simulators and "time delaying" drugs, and with dream-producing machines that can compress days of experience into minutes, there is simply too much for most people to experience and accomplish in the course of the normal fifteen decades of active, participatory lifetime. Hence the constantly recurring problem of "relative deprivation" caused by the gnawing sense, experienced by just about everyone during a normal week of existence, that they may have made the "wrong" choice in, for example, defending a new social policy before the National Citizens Assembly instead of writing a color-keyed composition for sitar and children's chorus, or simu-skiing in the downhill Olympics instead of having cybosurgery to enable nearly instant capacity to dance in the best of ballet companies. Relative deprivation is the source of active "theraputic" activity on the part of the society's remnant image-manipulating institutions, such as churches, the National Citizens Assembly, and education. Most of these efforts to "treat" the problem of overchoice have been fairly clumsy, with bromides replacing any really satisfactory methods to overcome the depressing realization that statistics on citizens ennui and generalized dissatisfaction are on the increase. Recently, the National Citizens Assembly voted to give the society's churches, education systems, and many types of families a major joint mission; find some way(s) to deal effectively with the last major problem faced by the society, that of overabundance of choice.

Educational System Roles

With the mission provided by the National Citizens Assembly, the education systems are now free to devote themselves to human values, the basis of rational choice, in many possible ways. Having been overwhelmed by the introduction of virtually utopian plenty in the society, and having suffered a loss of prestige and importance in the aftermath of various information system revolutions, the formal education systems had shrunk to a small fraction of their previous magnitude. Nearly nine in ten systems had lost all but a small "gatekeeper" cadre provided largely for "living museum" purposes by a benevolent society. The other ten percent of the systems were permitted to sustain small gatekeeper staffs, but were also allowed to operate one old-fashioned "school" each for historical simucasts and the opportunity for a handful of the population actually to "teach school," to be a "student," or to belong to a "PTA." Now things could begin to look up for these remnants, for their new mission with the churches and families of the society offered once again the chance to explore, learn, and teach.

Resulting Educational Model

With virtually all problems of the society solved with the exception of those caused by overchoice, the new role of the schools might be summed up in the observation, "Separation of church and school and isolation of the family from the professions 'worked' once, but hurts now. Let's bring together metaphysics, rational choice, and the basic nurturing institutions in the interests of life quality where it counts — the heart."

Educational System Outputs

To ask first and then convey, and to accept these acts as demanding *ethical* and *social* accountability in terms of the future happiness and assessed self-worth of an entire society.

Conclusion

The six preceding "mixed" types of scenarios were intended to provoke thought about critical input-output characteristics of human societies where formal educational activities are the focus. None of the scenarios employed technological or social ideas not already developed in some form, "on the drawing boards," theoretically possible, or already in use at least somewhere in our world. Indeed, some of the scenarios were fairly plausible restatements of current conditions in U.S. education and social life, although the distribution of specific characteristics within the complex pluralism of U.S. society and formal education is another matter. It might be said, however, that the "shoe fits" adage might well be employed where a particular aspect of one or more of the scenarios seems important and familiar to the reader. Nowhere was it the intent to insult or bore; rather, to stimulate and challenge, two essentials for any self-evolving system.

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CHAPTER 8

In-Service Education

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WHILE THE NEED FOR A VIGOROUS PRE-SERVICE education before entering the teaching profession is fully recognized, continuing in-service education is mandatory after teaching commences if one is to provide an exemplary educational program and if this program is to enjoy continuing development. Rapidly accelerating change, marked by a mounting store of knowledge, new technology, insightful findings as to the nature of humanity and learning, classes of cultures, and dramatic new insights as to the question of our very survival present both problems and promises for teachers. Thus, carefully planned and implemented in-service programs at the local school level are necessary if the schools are to meet the needs and aspirations of our times.

Regarding in-service education, state departments of education typically are expected, under statutory authority, to see that appropriate and adequate measures are taken to insure that the pupils are receiving the best possible instruction using up-to-date methods and devices. In Wisconsin, that statutory authority is contained in Section 121.02 (1) (c) of the Wisconsin Statutes which stipulates that a school district, to be eligible for state aids, must " . . . provide a planned, continuous in-service program for the professional staff" under criteria established by the Department of Public Instruction (Wisconsin Statutes, 1973).

This paper deals with the in-service education of teachers by first defining the concept and presenting a brief history of in-service education. Then, the prospects for change in in-service education the traced. Next, Wisconsin documents relevant to in-service education are summarized, including the law, the administrative code, a task force report, and a position paper on in-service education. Experiences of other states and the stances taken by professional educational associations regarding in-service education are the presented as a backdrop for four alternative models for in-service education: the re-certification model, the regional educational center model, the direct service model, and the professional or accreditation model. The chapter concludes with a recommended future plan for in-service education in the State of Wisconsin.

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Definition and Background

It is first necessary to define what the concept of in-service education means and to trace briefly the historical development of the concept.

What is In-Service Education?

Definitions range from simple to elaborate, generic to specific. Ream uses the basic, "In-service education of teachers includes all formal and informal activities that aid the teacher in discharging his responsibilities." (Ream, 1966, p. 11).

The Wisconsin Department of Public Instruction, in a position paper based on input by teachers, administrators, and school board members says:

> In-service education includes all of the collectively or individually planned experiences that contribute to the professional growth and personal enrichment of every member of the instructional staff. It is planned and implemented to meet the needs of each of its participants in light of the carefully selected goals unique to each school district and its individual staff members.

The purposes commonly ascribed to in-service education are:

1. To correct deficiencies
2. To add mission functions which will bring about changes in educators' behavior
3. To provide for continual learning
4. To keep pace with change
5. To increase efficiency
6. To develop technical skills
7. To provide new information
8. To develop human skills (Finnegan, 1972, pp. 215-216).

The American Federation of Teachers looks for six specifications in in-service programming:

1. Opportunities for both the experienced and inexperienced, professionals and paraprofessionals, specialists and generalists; the starting points of each would be respected.
2. Opportunities to proceed toward carefully selected, highly important goals, such as teaching inductively or improving group-process skills.
3. Opportunities to become aware of development in fields other than their own, as the need demands.
4. A variety of approaches: formal and informal courses, workshops, seminars, institutes, discussions, role-playing, lectures, demonstrations, field trips, investigations, projects, independent study, travel, research, staff development laboratories, etc.
5. High level teaching by competent instructors who have recent or current classroom

experience and who use the most current and appropriate instructional methods.

6. Groups of teachers with common needs cutting across building lines would be brought together as the need demands. (Bhaerman, 1971).

Edefelt (1974) provides two conceptual orientations for in-service education:

1. As personal development, formalized into courses at the graduate level that lead to advanced degrees and credentials, job promotion, and added competence for the individual. This is the traditional and most widely practiced form which assumes that the teacher is an individual entrepreneur moving independently along in his or her own career.
2. As a faculty effort, assuming that professionals who function together to attain specified educational goals and programs for students can also engage in personal and group development together to get at both the collective and individual problems teachers face (Edelfelt, 1974, p. 251).

Goodlad and others (1972) cite experience and research to substantiate the view that improving a group's effort is more effective when members of a group are dealt with together in a context, rather than when each individual gets in-service training separately.

Boards of education have bestowed a form of legitimation upon in-service education by accepting, sometimes demanding, evidence of professional activity in return for salary increments. They commonly accept a variety of experiences, including college and university course work, attendance at institutes and workshops, staff meetings, observation of demonstrations, field trips, cultural experiences, individualized professional study, organized group study, travel, service on school committees, professional association activities, work experience, professional writing, research, supervision of student teachers, and attendance at conferences and conventions. In addition to traditional face-to-face kinds of interaction, in recent years increasing use of technology in in-service programming has occurred, including programmed learning, dial access to audio-visual materials, tape cassette, cabel and satelite television, educational telephone networks, computers, and microteaching.

In summary, successful in-service education programs for teachers are:

1. Designed to meet genuine needs of teachers, principals, curriculum consultants, administrators, auxiliary personnel, pupils, and citizens of the community as determined by group study and judgment.
2. Planned and administered cooperatively with objectives clearly established.
3. Designed to provide help of a practical, concrete nature which deals with fundamental issues.
4. Designed to be continuous and planned on a long-term basis.
5. Considered an integral part of the educational process.
6. Designed to provide for group maintenance and group process.
7. Designed to receive substantial administrative and financial support.
8. Designed to be action centered.
9. Based on sound principles of learning.
10. Designed to provide a permissive atmosphere conductive to creativity (Ayars, 1957).

History of In-Service Education

In-service education of teachers dates from the beginning of the assumption of state responsibility for common schools. In the early 19th century thousands of teachers had little or no preparation. Many lacked even a high school education. Teachers had to learn how to teach children to read, write and "cypher." They usually depended upon institutes of several days' duration and some short courses offered in the evening. In-service education was usually remedial, i.e., designed to bridge the gap between what teachers were expected to know and do and what, in fact, were their knowledges and competences.

In tracing the history of in-service education, Tyler (1971) stated that by the 1870's, the ideal teacher was thought to be one who was always gaining new understanding of the content and skills in carrying out the job of teaching. From 1880 until World War I, summer courses offered in normal schools were the most important vehicles of in-service education. After the first World War and until the depression of the 1930's, in-service education was greatly affected by the establishment of quantitative standards for teacher certificates. At that time, educators believed that major improvement in the quality of teaching in American public schools could be brought about by requiring all teachers to have a bachelor's degree. When the drive to implement this view began, over half of the teachers could show on their credentials only the equivalent of two years of college. Hence, from 1918 until fifteen or twenty years later, in-service programs were not aimed primarily at helping teachers meet new problems but rather at filling gaps in college degree requirements. This sometimes had a deleterious effect both on the institutions and on the teachers enrolled. Instead of planning for summer courses that were new and exciting, many colleges and universities sought to identify and offer old courses that teachers had not taken previously. The teachers came, not with the purpose of gaining new insights, understandings, and competencies, but rather with the purpose of getting certificates renewed by "patching up their backgrounds."

During the 1930's when young people could no longer drop out of school and get jobs, the proportion of youth enrolled in American high schools rose to more than 80 per cent and included a considerable number who found the high school curriculum irrelevant to their purposes since they did not plan to attend college. The differentiating chartcteristics of in-service education during this period arose from the primary concern for developing curricula and procedures that would better serve youth under the conditions of the day. This involved the identification of new content, the development of new instructional materials, the discovery of new teaching-learning procedures, and the education of teachers to understand and to conduct the new programs effectively.

When it was discovered that it is not possible to do new things in the schools when teachers do not understand the need for the new things, or the bases of the new proposals, or the ways in which the new ideas can be effectively employed, the idea of the workshop was born. A workshop was defined as a period of intensive work in a controlled situation to develop techniques and abilities for putting new ideas into practice in the schools. Although workshops were originally thought of primarily as vehicles for putting new curricula or materials into practice, e.g., the Core Curriculum, in time they proved to be of equal worth in developing attitudes and skills of educational inquiry as teachers become involved in attacking problems.

The teacher shortage that resulted from the sharp increase in the birthrate following World War II once again required that a major focus of in-service education be the offering of courses to enable teachers to fill gaps in meeting certification requirements. National curricular projects in the biological and physical sciences, mathematics, and other fields; the problems of school desegregation; and the efforts to educate disadvantaged youth again focused in-service education on the development of understandings, skills, and attitudes required to implement these national efforts.

Tyler's observations are a useful summary of the current status of in-service education. In his view, in-service education:

1. Gives much attention to remedying gross deficiencies in pre-service preparation.
2. Is still viewed by many teachers as a means of increasing communication and reducing the sense of loneliness and isolation prevalent in an occupation in which contact with other adults is limited.
3. Is still a major way to achieve social mobility in the profession, not only by acquiring the paper credentials necessary for higher salaries and more responsible positions, but also by gaining wider visibility.
4. Continues to be one avenue by which an individual teacher's personal interests and needs can be served.
5. Has as its only new purpose since 1930 the aiding of the school in implementing new educational programs by helping teachers acquire understanding, skills, and attitudes essential to the roles they are to play in the new programs.

In the future, in-service education:

6. Will place great emphasis on helping teachers acquire skills necessary to the implementation of the plans of the school system.
7. Will be expected to gain wide participation in evolving and revising these plans.
8. Will not be limited to college and university settings.
9. Will not be seen as "shaping" teachers, but as aiding, supporting and encouraging each teacher's development of teaching capabilities he/she values and seeks to enhance.
10. Must satisfy the personal needs and interests of teachers.
11. Will deal with relatively new problems such as:
    - the education of the disadvantaged child
    - new high school and college curriculums more relevant to student interest and ability
    - adaptation of work experience to education (Tyler, 1971, pp. 13-14).

Change in In-Service Education

In considering change in in-service education, one must consider the improvement of teachers, images of in-service education, and the prospects for change.

In-Service Education and Teacher Improvement:

In-service education is necessarily linked to conceptions and perceptions of teacher competence. In question are the abilities of the certificated staff to deal adequately, if not maximally, with whatever their particular responsibilities happen to be. It is accepted that some are more competent than others, and that some teachers who never undertake formal in-service programs may be superior to others who willingly negotiate self-development programs—usually, but not necessarily, in cooperation with and assisted by colleagues, professors, supervisors, and administrators.

It is difficult, if not impossible, to validate most teacher education processes in the sense of tangible evidence of their efficacy. In education, as in many other areas of human behavior, we act on the basis of belief rather than knowledge. We do what we think is right, more than what we know will assuredly produce desired results. For example, pupils assigned to a teacher holding the master's degree do not necessarily receive instruction superior to that received by students of a teacher holding the bachelor's degree. Neither is it possible to demonstrate precisely how teachers become more effective in dealing with students as a result of pre-service or in-service human relations training. Although some people obviously "know" a lot of pedagogy, those who know the most conform to no single model of perfection in teaching.

In a discussion of Performance Based Teacher Education (PBTE) Programs, Rolf Larson noted that teacher education accreditation evaluators have said that they can find only one criterion for admission to and retention in teacher education programs that is really operative: the grade point average (Larson, 1974). Yet efforts of investigators through the years to demonstrate a positive relationship between a teacher's undergraduate grade point average and subsequent success in teaching have been generally unsuccessful. Such observations and conclusions doubtless have contributed to Jackson's (1971) claim that there is nothing self-evident about the relative superiority of plans for improving teaching through programs of in-service training.

We do not know that continued structured formal in-service activity is a need actually felt by most teachers. Presumably, if it were, there would be little occasion for boards of education and state departments of education to estabilsh policy and development incentives designed to bring about teachers in-service activity. One does not need to go to the literature to sense a general teacher resistance to stipulated in-service activity either in the form of earning credits or through informal acts which must somehow be reported, or at least recorded. Some no doubt view such requirements as anti-professional, for the message teachers unavoidably receive is that someone knows more about how they should behave in their classrooms than they do themselves. They know, or think they know, that the necessity of keeping up-to-date is not a terribly strong argument in support of in-service training. The average teacher does not believe, for instance, that his/her skills would really become obsolete quickly if one allowed subscriptions to professional journals to expire or failed to attend the summer workshop at the university. What a teacher does know is that the most important source of a teacher's knowledge about one's work is the act of teaching itself. And the teacher is supported in this knowledge by almost every salary schedule which provides pecuniary rewards for each year of classroom experience,. Thus, from at least one point of view, the greatest contribution to in-service education may be the experience of teaching itself. In this context, John Goodlad's statement that "in-service training bears no relationship to the problems teachers say they have in teaching" is interesting. (PHI DELTA KAPPAN, April 1974, p. 583).

Of course, the last statement needs qualification. To experience growth a teacher must not just *have* experience, but must benefit from it. One must reflect upon what happens to him/her, ponder it, and make sense from it. Since it is difficult to teach and think about teaching at the same time, what the teacher needs is both the time and the tools to conceptualize experience, to imbue it with personal meaning in a way that alters one's way of looking at his world and acting on it. Accordingly, part of the thesis of this paper is that teachers need more time to think about what they are doing.

Image Considerations

In-service education for teachers and administrators has seldom been a matter of public attention or concern. It has never enjoyed a consistently good image either within the profession or without. Note the vivid report made by Don Davies, then of the U.S. Office of Education, to a Senate Subcommittee on Education in 1967:

> In-service teacher education is the slum of American education—disadvantaged, poverty stricken, neglected, psychologically isolated, whittled with exploitation, and broken promises and conflict (Davies, 1967).

It is frequently described as consisting of maximum activity with minimum effect. "Typically, the teacher or administrator relies upon a variety of resources for new information and insights: faculty gatherings, meetings with central office personnel, visitation to other schools, annual performance evaluations, conventions, closed circuit television, association publications and specialty journals, and courses at a nearby college on university. Little research exists which evaluates the impact of these sources on classroom behavior. However, it is widely felt that they have little lasting effect upon job performance (Harris, 1969).

Jackson, one of the foremost among contemporary educational researchers, writes, " . . . there is nothing self-evident about the relative superiority of plans for improving teaching through programs of in-service training" (as compared with other means, such as upgrading the quality of pre-service education, attracting more talented people into teaching, weeding out the incompetent from those already in, and improving the materials of instruction). "In-service programs," in his view, "cannot pay off in terms of tangible evidence of their efficacy. This is true because in education, as in many other domains of human endeavor, we must act on the basis of belief rather than knowledge. We must do what we believe is right rather than what we know will pay off"

(Jackson, 1971). Nobody knows, for example, that the discovery method will produce a better crop of scientists than will the old-fashioned recitation method. And we are not in a position to insist that the in-service program should rest on a firmer foundation of fact than is available for comparable programs in other spheres of education activity.

In-service programs receive few good notices. One gets the feeling from reviewing the literature that more (or at least as many) writers are inclined to point out in-service inadequacies than are moved to view them as routes to fulfillment. "In-service staff development exists too often as an appendage to, rather than as an integral part of, daily activities." Or, "If you talk to many elementary school teachers today and begin to discuss in-service training, you might faintly hear in the background the chords of 'MIC-KEY MOU-SE' " (Kozoll, 1972).

Edelfelt writes of in-service education as the "neglected step child of teacher training" claiming that most resources and effort in teacher education have gone to pre-service preperation, which cannot be denied. He also concludes that pre-service goals have been largely accomplished, a conclusion that can be supported only in the quantitative sense that nearly 99 per cent of teachers currently in-service have at least the bachelor's degree and a license. Nonetheless, Edelfelt would move even a late afternoon tired faculty audience to spontaneous applause with his statement on the status of in-service education for teachers as "a wasteland of evening, Saturday, and summer courses or workshops mandated by school districts and state departments of education. (It) takes place almost entirely on the teacher's time and in advanced collegiate study at the teacher's expense. It is required for . . . advancement on a local school district's salary schedule. It is planned and executed by educators other than teachers (and) often is taught in a manner that violates almost every principle of good teaching." After a brief pause for effect, he would then bring down the house with "in-service education has not met teacher needs; it has been required by superordinates largely without consultation with teachers, and, in sum, has not served the major purposes of improving professional performance (Edelfelt, 1974). Yet, he says, despite all its shortcomings, teachers apparently want in-service education. The use of the word "apparently" may be significant.

Perhaps the most devasting single statement in the literature relating to in-service education is provided by Allen. Some would call it telling it as it is: "Of all the tradition-bound practices in American education, the current state of in-service training is probably the most indefensible. Such training as there is seems to be guided by two mutually compatible perspectives: (1) in-service training as relevant to the upgrading of teachers' professionalism and classroom performance; (2) in-service training as a convenient way to pile up units, which will move a teacher horizontally across the pay schedule. All too often, of course, the second perspective dominates to the exclusion of everything else, and thus it is difficult to find anyone in the profession, from teacher to administrator, to school of education faculty member, who has a good word to say about in-service courses."

The culprit, according to Allen, is the salary schedule that offers pay increments tied to in-service activity: "Given the current structure of education in general and teacher credentialling in particular, it is not surprising that in-service training is so rooted in the conception of units taken, time spent at the university, and steps up the pay scale. Our entire educational framework is based on such time criteria, and within such a system, it is perhaps only consistent to view a two-unit course as in-service training without any reference to the course's effect on the teacher's professionalism (Allen, 1971).

Prospects for Change

In-service education for teachers has a generally poor image. But the scene may be changing. Robert Schaefer signals the opportunity for educational leadership when he writes that "given the deficiencies and omissions in training and the lack of support and assistance to be found in the schools, what is remarkable is not that so many teachers forget the excitement of learning, but that a heartening few somehow maintain vigorous scholarship and positive attitudes toward their pupils. This stubborn core of those who retain a live curiosity and who continue to respond zestfully to the inherent fascinations of teaching provide a reassuring reminder of what the school might potentially be for other teachers and other students (Schaeffer, 1937). That "reassuring reminder" has been known to exert subtile pressure for converting attitudes of indifference to enthusiasm among other teachers.

Supply and demand factors and collective bargaining activities appear to be influencing teacher thinking regarding in-service desires and necessities. Galloway observes that "Teachers are beginning to demand germane in-service activities. Recent contract negotiations reflect this interest. Teachers are more active than ever in the planning of their professional careers. They want better in-service programs and they are beginning to get them. . . "We are beginning to turn negativism toward education into an optimism that promises at new era in user education and professional growth." The consistency of Galloway's definition of in-service education with the above statement is more than coincidence: "It is an unwritten contract that binds a professional to the further development of his educative powers" (Galloway, 1972).

Various other factors suggest that the moment for reform in in-service education for teachers has arrived. Teachers, when asked, express concerns about their ability to handle student participation in classroom work; they are concerned about working with parents and other laymen; they indicate need for help in improving teacher procedures, planning curriculum, understanding child growth and development, and developing skill in group process.

The surplus of teachers has brought a renewed emphasis on in-service education. With complaint rampant about old forms of in-service training—the forced workshop and "unreal" university credit course programs—teachers, often at the bargaining table, are gaining more say and, in some instances, more control over in-service programs.

But, the teachers cannot do it alone. The full spectrum of constituents is needed in consortium on a regular basis for what each can contribute in resources, ideas, and practices. University faculty from liberal arts and education contribute scholarship, expertness in curriculum building, and assistance in developing evaluation and assessment procedures from a research base. Administration should provide the financial base for program, resources and materials development. But teachers are the essential group and the main agents for improvement because only they can pose questions and issues and problems directly from *their* experience (Smith, 1974).

The current vogue of accountability is having its effect upon teacher attitudes toward their pre- and in-service training. Rising costs and mounting dissatisfaction with the output of schools only intensify the clamor for assessment and the odds are that the demand for rigorous evaluation will grow. "The potential of measuring incremental gains in a child's learning, together with the possibility of linking these to the specific instruction he/she has received, will certainly lead to a greater emphasis on assessment. Concomitantly, there will be a greater effort to fix accountability upon the individual teacher" (Rubin, 1971). Therefore, teachers can be expected to solicit professional improvement activities that hold up under assessment, activities that, in effect, guarantee greater teaching proficiency.

The economic down-turn across the country, the increase in the number of college graduates prepared to teach, and declining public school enrollments constitute a series of fortuitous events having a stabilizing effect on the teaching profession. With turnover at its lowest in 25 years, teachers now have an unprecedented opportunity to learn new professional skills and develop new understandings "on the job." There is now a better chance for continuity, for building a faculty over a longer term. College professors and administrators have begun to realize the potential market of in-service education. Faced with finding ways to continue with tenured faculty, colleges and universities are alert to new demands for service. These are compelling reasons for the growing collegiate interest in in-service education.

But whatever the motives of teachers, administrators and professors, "the over-riding concern must be on the *continual* education of teachers from neophyte status through maturity. The ultimate propellant along the way will be professional self-respect, the desire to know, and the esteem as well as authoritative standards of professional colleagues (Fisher, 1971).

The continual education of teachers will be assured, if by anything, by the accountability factor manifest in the essential ultimate outcome of teacher training: pupil achievement. Accordingly, Detroit public school staffers Stewart and Hart comment that "there is no longer such a noticeable reverance for the irrelevant in teacher education." But although circumstances appear to favor a resurgence in in-service interest and activity, the movement is slow. "The ivy has not yet disappeared from the academic towers, and within those towers the liberal arts practitioners have not yet come to a permanent or totally productive peace with the professional educators. Nor have the public schools as yet fully come to grips with their proper responsibility for the continuing professional education of teachers after initial preparation and certification. The average amount of money—as a percentage of total budget—spent by school districts for in-service traning remains far below that spent in business and industry, and farther still below what is required. (Stewart and Hart, 1972).

Due in part to lack of funds and, in part, to neglect, school boards have not demanded that sizable sums of money be allocated to the training function. (School boards deserve special mention because historically in-service education has been viewed as a school district responsibility. A strong case can be made for continuing that focus of responsibility.) Salaries often command up to 80-90% of total funds in school budgets. Yet lack of "care and maintenance funds" virtually guarantees the obsolescence of the system's most expensive asset.

Coleman suggests that a principal deterent to effective in-service programs is the lack of a reasonable theoretical base. His administrative view is that it seems ". . . unlikely that a serious in-service program can be developed until after some relatively extensive and objective evaluation schemes have revealed the areas of greatest need." (Coleman, 1973). Thus, viewed from at least one perspective, the future state of the art will see the implementation of a teacher evaluation program as a necessary prerequisite to the development of an adequate in-service program.

The appearance of new theoretical bases is evidence that conditions are appropriate for change. One that draws more than passing interest and which state departments of education might seriously support is the "League Model" developed by Goodlad (1972). It provides an antidote to the questionable practice of adding "brownie points" for more and more courses and more and more lectures on teacher institute days. Briefly stated, Goodlad contents that in addition to specifying needs of individual teachers, goals for schooling can be stated in the form of desired conditions in and for the school itself, such as, decision-making authority and responsibility; relationships between the principal and teachers and between teachers and children; processes of human relations, and the like. The League Model is likely to appeal to those who view the school as an entity with a mission, as distinguished from a mere location where competent teachers are provided space for the independent practice of their profession. The Goodlad model assumes that by collective action, the principal, teachers, pupils, and less intimately, parents and citizens (with the principal and teachers most accountable) must define the school's mission. This departure from the customary focus only on pupils and individual teachers would seem to reflect a movement, already discernible in such activities as the multiunit school, toward a different kind of relationship between colleges and the school, one in which college and school staffs relate as staffs. The traditional university role as purveyor of packages, largely by individual professional effort, designed to be purchased by individual teachers and leading to rewards in salary is being challenged.

Wisconsin Documents

States have statutes and departments of education have policies specifying varying degrees of insistence that school personnel engage in in-service programs. Wisconsin state planning derives from section 121.02(1)(c), *Wisconsin Statutes*, 1973:

> It (a school district) shall provide a planned, continuous in-service program for the professional staff.

On September 17, 1974, PI 8.01(1) (c) (Wisconsin Administrative Code) was created to read as follows:

> Each school district board shall establish a procedure by which its teachers, supervisors, administrators, and other professional staff members formulate a long-range in-service plan and operate an annual in-service program for all professional staff members. The plan and program shall be directed toward meeting the cooperatively identified needs of the school district and of individual staff members.

Present reporting requirements require an annual district *Yes* or *No* response to the following questions:

1. Has the school district board established a procedure by which the teachers, supervisors, administrators and other professional staff members formulate a long-range in-service program for all professional staff members?
2. Does your district operate an annual in-service program for all professional staff members?
3. Is the in-service program directed toward the goals of the district?

In-Service Task Force Report

An in-service task force, convened in the fall of 1973, reported to the Superintendent of Public Instruction on January 2, 1974 (Wisconsin DPI, 1974). The report recommends the establishment of local district in-service councils and sub-councils to determine in-service educational needs, promote programming, and conduct evaluations of the programs with necessary funding to be provided by local school districts. The Task Force recommendations included the allowing of flexibility for "individual teachers, building units, or affinity groups to have an option on designing their own individual in-service plan." The plan would be submitted to the appropriate administrator for transmittal to the local district in-service council.

According to the report, the variety of in-service programs "is limited only by the vision of the planners." Possibilities listed include visitations, observations, case studies, extension class work, summer projects, university classes, and internships. Accompanying guidelines outline the responsibilities of the board of education, the in-service council and the individual staff members. The guidelines introduce for the first time the concept of quantifying in-service experience based on semester credits or their equivalent of "15 continuing education hours." Each local board of education would determine the number of continuing education hours to be required, with a minimum of 30 per staff member.

A dissenting minority complained mainly that the setting of 30 continuing education hours to be completed by each teacher was arbitrary and not based on research findings, that such minimums tend to become maximums in practice, and that different manners of spending hours (in workshops classes, attending conferences) are not of equal value. The dissenters' observations, while perhaps true, do not weaken the report, since they make no alternative suggestions of their own—in effect saying that to have no plan would be preferable.

A Position Paper

In a paper by DPI staff member, Robert

Skeway, a model for implementing the requirements of the Administrative Code was presented. The paper includes the following useful definition of in-service education:

> In-service education includes all of the collectively or individually planned experiences that contribute to the professional growth and personal enrichment of each professional staff member. It is planned and implemented to meet the needs of each of its participants in light of the carefully selected goals unique to each school district and its individual professional staff members (Wisconsin Department of Public Instruction, 1974).

The paper also includes a statement of the characteristics of "desirable" in-service education. The paper stresses the central focus on the individual teacher both with respect to determination of in-service needs and control of implementation and evaluation. The allowance made for the existence of school district needs (as distinguished from individual needs) might be strengthened if, realistically, it is expected that substantially increased board of education appropriations can be made available. The Skeway plan could be extended and applied to a periodic re-certification requirement should one be developed. A hierarchy of local, regional, and statewide in-service councils would serve as validation agents in the re-certification process.

Experience in Other States

Until 1970, few state policies had extended beyond giving admonitions and requiring more or less perfunctory reports as means to insure that teachers, once certificated would remain current in method and knowledge. For reasons previously noted, the time for a bolder prosecution of the in-service dimension of teacher education has arrived. State departments of education, in general have responded in either or both of two ways: (1) by reorganizing to provide additional direct services to schools and school districts, and (2) by requiring teachers to be re-certificated periodically through the completion of certain in-service education activities and programs.

Direct Service Plans

The Arkansas Department of Education recently submitted a state in-service training plan to the state legislature (Arkansas Department of Education, 1974). The plan would create for the first time a full-time position in the Department for the coordination of in-service education. The person would work with Department specialists, and with superintendents, principals, curriculum directors, and teachers in the development of guidelines for in-service education. A three-phase program, costing $200,000, is projected:

1. To provide funds for training and direction of teachers and administrators in general topic areas, such as, classroom management, discipline, methodology, and evaluation.
2. To provide funds for Department specialists in the basic subject areas to conduct workshops, conferences, and specialized in-service training in an effort to strengthen present competencies and introduce new ones.
3. To provide funds for special in-service education programs to be held in cooperation with colleges and universities, and local school districts. Programs would be developed by Department specialists in cooperation with colleges and universities, and local school districts. Programs would be developed by Department specialists in cooperation with staff from the other groups. Funds would be used for consultant fees, travel reimbursement, equipment and supplies.

Texas enacted a law in 1969 which requires ten days of in-service training and adds 10 days to the school year for that purpose, resulting in a 10-month employment period for all teachers (Mullins, 1972). To implement its in-service responsibility, the state has set up a network of Regional Education Service Centers offering cooperative, multi-district in-service programs. The Centers also disseminate innovative concepts and relevant practices. Each Center employs a professional staff person who, together with part-time consultants from the Texas Education Association, colleges, universities, and the ranks of teachers and administrators develop programs designed to serve local, state, and national priorities, in that order. Among the advantages claimed for the Texas plan are the economies resulting from regionally-planned, cooperatively financed programs, continuous support available to small groups of teachers and individuals, and the existance of a functioning in-service mechanism for use when new state and federal plans are introduced.

A project administered by the Tennessee Department of Education under a grant from Title III of the Elementary and Secondary Education Act was designed to implement in-service programming at three levels: the local school site; the school system; and a regional cooperative of school systems. It was concluded that of the three, regional programming was most economical and carried the greatest potential for qualified staff to plan, present, and evaluaate programs (Tennessee Department of Education, 1972).

The Province of Ontario provides an interesting variant on the regional center theme (Stinson, 1972). The Ontario Institute for Studies in

Education was created by act of the Ontario Legislative Assembly. It houses the Department of Education Theory of the School of Graduate Studies. To "bring" the Institute to Western Ontario, the Western Ontario Field Centre has been created consisting of two field staff and a secretary. They bring the Institute to regional schools by (1) communicating research findings and educational innovation, and (2) by usiing the resources of the Institute to meet regional needs workshops, etc.

Other in-service activity in the Province is organized through the College of Education with its resources of subject specialists. But the Institute is thought to be more responsive in in-service programming since it is concerned almost solely with school systems and practicing teachers whereas a college has to devote much of its time to the pre-service function. The latter opinion is not shared by the writer. On the contrary, the advantages of a close association of pre-service and in-service activity appears to substantially outweigh the disadvantages. The in-service education opportunity inherent in the student-teaching program is but one example.

Re-Certification Plans

The State of Minnesota has established a Continuing Certificate which must be renewed every five years by the completion of 120 "renewal units" including units from two or more of 16 specified areas. (Minnesota Department of Education). A State Committee for Programs Leading to Renewal of Continuing Certificate in Education was set up to:

1. Set rules for its own operation.
2. Annually review procedures and criteria for granting renewal units with the purpose of updating and improvement.
3. Consider and decide appeals from decisions of local committees.
4. Provide all pertinent information to the State Board of Education in cases of appeal to that Board.

Local Committees for the Approval of Programs to Qualify for the Renewal of Continuing Certificates in Education was also set up for:

1. Determination of the number of renewal units to be granted for experiences.
2. Action upon requests for recommendation for renewal of the Continuing Certificate by determining whether the applicant has met the requirements.

Provisions exist enabling the formation of Joint Local Committees between two or more districts and the formation of subdivisions of local committees according to grade level, subject field, location of buildings, etc. Permissive arrangements appropriate to the non-public schools are provided. The constitution and duties of the Committees delineate the participation of the professionals affected in the management and control of the re-certification process in accordance with regulations of the state board of education.

The New Hampshire plan for staff development was adopted by the State Board of Education under the assumption that the professional development of every educator is a life-long process and is an inherent ingredient of his role as an agent for improving the quality of life in society (New Hampshire Board of Education, 1971). It emanates from the notion that most meaningful in-service education stems from needs as perceived and developed by educators, students, and the community in a cooperative, supportive fashion rather than generalized statewide requirements. The basic factor in the plan is the local Three-Year Master Plan that each school district is required to submit to the Director of Teacher Education, State Department of Education. It must stipulate local in-service needs, objectives, program activities, and evaluation. In recognition of individual differences among educators, the Three-Year Plan must encourage a choice of activities within four major staff development components:

1. Knowledge of subject
2. Basic teaching skills
3. Orientation to structure and operation of local schools
4. Exploratory or innovative activities

The individual requirement imposed upon the teacher is that he/she completed a minimum of 50 clock hours of approved activity in each 3-year period as a consideration for re-certification. At least 10 hours shall be devoted to each of the four component areas mentioned above. College courses, in-service seminars/workshops, conferences, out-of-district school visitations, sabbaticals, institutes, and independent study are examples of eligible activity.

The line of approval for the local Master Plan is:

1. the local superintendent
2. the district school board
3. the state Department of Education

No appeal process is provided either for the school district regarding its Master Plan or for the individual with respect to the approval/disapproval of the in-service plan and recommendation for certification renewal.

In Pennsylvania (1972), professional education personnel may qualify for renewal of Level I certificates or the issuance of Level II (permanent) certificates through approved in-service education. They may also qualify through the completion of college work. In the Pennsylvania plan, the Division of Teacher Education, Pennsylvania Department of Education is responsible for all in-service activity related to certification of educational personnel. The state department recognizes letters of "in-service credit" issued by In-Service Councils established by school districts or intermediate units. Accordingly, the local In-service Council, composed of representatives from the district's teachers' organizations, administrators, students, school board, intermediate unit, institutions of higher education and community, is the critical element in the relationship of in-service education to certification renewal and life certification. The Councils conduct needs assessments, design in-service proposals, submit them for approval, and evaluate in-service programs for effectiveness. In-service Councils' letters of "in-service credit" may specify college credits completed, demonstration of proficiency achieved, or clock hours completed in an approved program. Renewal of Level I certification requires 24 credits. Fifteen clock hours of approved in-service activity earn one credit.

Another state authorizing re-certification based on completion of in-service work approved by the State Department of Education in Vermont (Lincoln, 1974). According to this plan, a local school district may develop a program for the in-service training and professional advancement of its staff and may apply to the State Department of Education for approval to recommend issuance and renewal of all certificates at the local level. To qualify, the local district's program must meet the following conditions:

1. Evidence that the local teachers participated in the planning and development of the program and have endorsed it by majority.
2. Evidence that local school boards participated in the planning and development of the program and that a majority of the school board members have endorsed it.
3. Evidence that the professional administrative personnel in the school district have participated in the planning and the development of the program and have endorsed it.
4. Evidence that there exists a reasonable balance between local workshop-seminar type in-service training programs and academic experience made available by institutions of higher learning as well as other valid educational experiences.
5. The program should encourage and facilitate individualized programs for professional growth and certification renewal.
6. The local program must include provision for job description, task analysis, and performance criteria for all educational personnel.
7. Evidence that institutions of higher education, at least one of which has an approved program in teacher education, have indicated a willingness to participate in the local program or lend resources to it; e.g., membership in a Staff Development Cooperative would be good evidence.
8. Evidence that local school districts have consulted with students, parents, and other interested citizens in the community, in the planning and development of the program; e.g., is it part of the Local Design for Education.
9. The initial program submitted must provide for an annual review and evaluation by the initiating group.
10. State Department of Education review is provided for on an annual basis.
11. Designate by name and position the composition of the local Evaluation Agency.

The SDE renews certification upon the completion of six semester hours of academic credit *or its equivalent* every five years. The following "Checklist for Approval of Local Evaluation Agencies" is provided:

1. Local plan submitted to State Department of Education by committee representative of all educational personnel in the district. (This committee may serve as the local evaluation agency.)
2. State Department of Education acceptance of Committee.
3. Approval of superintendent of schools or a member of his administrative staff if he is not a member of the committee.
4. A letter from the district testifying that the majority of the teachers have approved the plan or a reference to minutes of a meeting.
5. A letter referring to school board minutes of the meeting(s) at which the plan was endorsed.
6. A letter reporting the names of the administrators in the district who participated and endorsed the program.

Professional Association Activities

Activities of professional associations concerning in-service education may be analyzed from national and state perspectives.

National Association Activities

Bragg and Anderson (1974) examined the *Journal of Medical Education*, the *Journal of Legal Education*, the *Journal of Teacher Education*, *Engineering Education*, and *The American Association of Collegiate Schools of Business Bulletin* under four categorical topics: (1) standards and ethics, (2) recruitment, (3) curriculum and instructional methods, and (4) external relations. Their tabulation of the space in these journals devoted to various topics since World War II revealed only a "secondary concern for the specific topics of field experiences, *continuing and graduate education*, faculty roles and attitudes, supply and distribution of practitioners, and professional education programs in other countries." (emphasis added) Although some overlap exists between continuing education and curriculum and instruction, the Bragg and Anderson review indicates virtually no official concern among the professional journals about in-service education as revealed in the publications of the national associations. Other professional publications may contain greater numbers of continuing education articles, although, if teacher education journals are a reliable indicator, such articles are rare.

The Physician's Recognition Award. In 1908, when the caliber of medical practice and the preparation of medical training attributed to the medical schools in the U.S. and Canada were being questioned, the medical community called upon Abraham Flexner (1960), an educator, to develop a set of criteria which, when known, were conclusive as to the quality and value of a medical school. His report, *Medical Education in the U.S. and Canada*, known as the "Flexner Report," has become a classic base for comparison among the professions. It describes the signal importance of such factors as entrance requirements, size and training of faculty, financing (including fees) available to support an educational program, quality and adequacy of laboratories, and relations between the medical school and the hospitals. The Physician's Recognition Award requirements extend the Flexner Report in a suitable way and itself is worthy of emulation by the other professions.

In 1969, the American Medical Association established the Physician's Recognition Award for Continuing Medical Education based upon a physician's in-service education activity over a three-year period. The voluntary program's purposes are "to recognize, encourage, and support physicians who participate regularly in Continuing Medical Education and to emphasize the importance of developing more meaningful continuing medical education opportunities for physicians. (American Medical Association, 1973). The philosophy of this Award is that "a lifetime of learning is an obligation of the profession of medicine, and the Award is planned in such a way that a physician engaged in any field of medicine can qualify. Thus, physicians in medical administration or academic medicine can qualify for the Award as well as the physician in clinical practice." It is stated that as techniques ef education and evaluation improve, emphasis will be placed on the improvement of physician services resulting from education as a basis for the Award instead of the amount of time devoted to continuing education.

School Administrator's Academy Awards. In 1968, the American Association of School Administrators announced the "Academy Professional Development Award" bearing some similarity to the "Physician's Recognition Award." The Academy program provides a three-level system of rewards for participation in in-service educaion: (1) the "Academy Professional Development Award," granted for attending a specific number of seminars and clinics during a five-year period; (2) the "Diplomate of the Academy for School Executives," based on participation in programs during a ten-year period; and (3) the "Fellow of the Academy for School Executives," based in involvement in academy in-service training programs over a fifteen-year period.

Wisconsin Educational Associations

Since one purpose of this paper was to provide background useful to the DPI in developing statewide plans or guides for in-service education, it was thought illuminating to investigate the policies of various educational associations with respect to in-service education. The positions, official or otherwise, of the various professional constituencies can provide useful background as statewide policy is formed. The policy development task should not be undertaken without the fullest possible knowledge of the concerns, attitudes, and activities of the state's professional education organizations. Accordingly, the following request was addressed to forty professional education associations in Wisconsin:

1. Does your organization have an official statement of position or policy regarding in-service and/or continuing education of its members? Yes____ No____
2. If the answer to #1 is *Yes*, please enclose a copy of the statement.
3. If the answer to #1 is *No*, could you provide a statement that indicates the sense of the organizations attitudes and/or concerns regarding the matter of in-service education?

From this survey, what do the professional organizations' statements of position and policy tell us? They tell us that most of the organizations both in official position statements and in many specific programs support the concept of in-service education for their members and others. Several speak of the sponsorship of such in-service activities as institutes, workshops, conferences, and conventions. Stipulations as to the rights of teachers, released time, school district sanction of the individual teacher's in-service activities, and cost reimbursement, as well as statements indicating a primary interest in promoting legislation, bespeak well-known positions of several of the associations. Significantly, only one group, the Wisconsin Elementary School Principals' Association expressed a position of participation and cooperation with the DPI in planning and implementing programs of in-service education.

Alternatives in In-Service Education

From the foregoing sections of this paper dealing with historical development, current practice elsewhere, DPI documents, and positions of professional associations, four models emerge as possibilities for statewide in-service education under the auspices of the DPI: the re-certification model, the regional education service center model, the direct service model, and the accreditation model.

The Re-certification Model

This model has been described as it exists in Minnesota, Pennsylvania, Vermont, and New Hampshire. In the Pennsylvania plan, the local council, consisting of representatives of teacher organizations, administrators, students, school board members, community, and higher education, makes decisions regarding whether a teacher qualifies for re-certification or a permanent credential through the issuance of letters of "in-service credit" which are recognized by the Pennsylvania Department of Education.

In the Vermont plan, local school districts may develop their own programs for the in-service training and professional advancement of their staffs and submit the plans to the SDE for approval. Approval of the district plan by the SDE qualifies local districts to recommend renewal of all certificates. Elaborate conditions have been established governing the content of the local plan and to insure that all appropriate constituencies participated in its development. The Vermont plan does not include a state or a regional committee structure.

Of all the state plans reviewed, Minnesota probably has the most intricate structural arrangement for tying in-service education to re-certification. The "Continuing Certificate" which must be renewed by professional educators every five years requires the completion of 120 "renewal units" selected from specified areas of study and/or experience. Each school district organizes a local committee consisting of four teachers, two administrators and one citizen. The local committees act upon requests for recommendation for renewal of the Continuing Certificate by determining whether the applicant has met the requirement. The local committee determines the number of renewal units to be awarded for various in-service education experiences. The eight-member State Committee for Programs Leading to Renewal of Continuing Certificate in Education consists of two teachers from the Minnesota Education Association, two teachers from the Minnesota Federation of Teachers, one member each from the Minnesota School Boards Association, School Administrators Association and the Minnesota Teacher Education Council, and one non-voting representative of the State Department of Education. This State Committee reviews the procedures and criteria for granting renewal units, considers appeals from local committee decisions, and provides pertinent information to the State Board of Education when appeals from State Committee decisions are made to that body.

In New Hampshire, professional staff members qualify for re-certification every three years by completing at least 50 clock hours of "approved" activities. The local district submits its master plan to the Director of Teacher Education in the State Department of Education for approval. The plan stipulates local in-service needs, objectives, program activities, and evaluation designs. The New Hampshire plan does not include any special committee structure. The three-stage line of approval for the local master plan includes the local superintendent of schools, the board of education, and the State Department of Education. No appeals process is provided either for the school district regarding its plan or for the individual teacher concerning judgments made about one's eligibility for certificate renewal.

The Regional Education Center Model

Texas "legislated" in-service training for its public school educators with the passage of a law stipulating ten days of in-service training to be added to the school year for in-service purposes. In so doing, Texas set up a network of Regional In-service Education Service Centers which offer cooperative, multidistrict programs. Each Center employs a professional staff which—with appropriate part-time consultant help from universities and other agencies, develops programs to serve local, state, and national priorities, in that order.

Such a state network of regional teacher centers organized around the nucleus of a statewide teacher center is a model likely to gain in popularity especially in states like Wisconsin which already have well-established intermediate educational units. In Wisconsin, the logical locus for the regional teacher center is the Cooperative Educational Service Agency. The statewide teacher center is seen as complementing the regional centers in coordinating services to clients. For the state desiring to tie in-service activity to a re-certification requirement, the teacher center format, including apropriate local, regional, and state committees for policy formulation and coordination is quite appropriate.

The Direct Service Model

Many state educational agencies, including the Wisconsin DPI, provide direct assistance in varying degrees to local school districts seeking to meet their in-service education needs. Such assistance normally is embodied in consultants from the state department of education who present or arrange workshops and conferences in various structured services. However, most states do not have in their education departments an office dealing exclusively with in-service programming for the state's districts and teachers.

In Arkansas, it has been proposed to create a full-time, in-service position in the department of education to work with departmental specialists, school administrators, and teachers in the developing and implementing guidelines for in-service education. This program would include conducting workshops, conferences, and other in-service activities under the leadership specialists in the department of education, colleges and universities, and public schools.

The Accreditation Model

Wisconsin and other states presently rely heavily on the professionalism or accreditation model for in-service education. That is, the state requests from local school districts assurance that a plan exists and perhaps some information as to its contents. Having "accredited" the plan, the DPI places reliance upon the professionalism of individuals concerned to see that the intent of the accredited plan is carried out.

The accreditation plan might also be that of a respected professional association, such as the "Physician's Recognition Award" or the "Administrators Professional Development Award." The fact of an individual's having qualified for an association's award is thus accepted as sufficient evidence of one's compliance with the in-service educational expectations of the state. Such evidence, in principle, is similar to the universally accepted "evidence" of a grade awarded by a college or university, i.e., the competence or knowledge of the individual is conceded without further demonstration of that knowledge or competence. This model is similar to that used by the federal government which looks upon accreditation by a regional accrediting association (e.g., the North Central Association of Colleges and Schools) as one qualification for participation in federal grants by colleges and universities.

Conclusion

By way of conclusion, the following quotes are germane:

> **Teacher education is defined to include the total initial and continuing education and development of personnel to serve as professional practioners at any one or more levels of education —early, elementary, secondary, higher—regardless of where that education takes place or by whom it is sponsored (Lindsey, 1974).**
>
> **Although the evaluation of educator's performance in their jobs is currently a subject of extensive debate, agreement can be reached, at an abstract level, that some employees contribute more than others in the public schools (Miskel, 1972).**

Summary

The professional literature on the subject of in-service education for teachers is clear about one thing: No one really knows that the efficacy of the continued education of teachers in service can be assured any more by the application of one particular model than by another. There are, of course, numerous organizational patterns in use by boards of education to induce teachers to earn in-service credits, however described. There is, however, near unanimity in the belief that continued education of professional educators is needed and that it is more effective when based upon motivations proceeding from within the individuals involved. This point was illustrated in a recent Teacher Education and Professional Standards *Newsletter* which carried the results of a survey of San Diego teachers concerning in-service programs and ideas for improvement. The teachers said that they would like to have:

1. An advisory council composed of teachers, to formulate standards for in-service training.
2. Opportunities to devise their own individual self-improvement plans.
3. More time to teach through relief from menial and custodial duties.
4. Expansion of district-sponsored classes.
5. New master's and doctor's degree programs to replace curricula now regarded as unrealistic.

Boards of education, recognizing that continued formal education of teachers was desirable, early hit upon the device of rewarding those teachers who completed college courses by granting salary increments, while those who could not, or would not, go back to school got none. In some cases, there were even provisions for retrogression on the salary schedule of non-conforming teachers. To this day, the completion of post-baccalaureate work at the university is one of the two most common means for advancing on the public school salary schedule. The other is to acquire longevity on the job. The advantage of credit and experience criteria for occupational advancement is that they can be expressed in definite, quantifiable terms. Although it is not necessarily a disparagement of either advanced university study on occupational longevity, it is worth noting that there is no demonstrated necessary relationship between either of them and the ultimate goal of increased teaching effectiveness.

The accumulation of credits has become a primary basis for many state re-certification programs. In Minnesota, it is the "renewal unit" of which 120 are required every five years to maintain certification. Fifty clock hours of "approved activity" will renew a three-year certificate in New Hampshire, while Pennsylvania will renew a certificate for 12 credits and will make it permanent for 24. The magnitude of the mechanical functions of record-keeping, processing applications, and issuing new credentials—not to mention the monitoring the eligible activities (especially non-university credit activities)—will surely test the ability of the proponents of recertification to demonstrate the superiority of those plans over less coercive measures which, as far as anybody knows, may achieve comparable equalitative results. Viewed from a quantitative viewpoint, of course, it would be difficult to argue that required periodic recertification is not an effective device for guaranteeing if not effectiveness, then certainly the continued piling up of credits. Some will argue that without external constraints teachers simply cannot be depended on to maintain a proper currency of their responsibilities . There is little support for this argument either in the literature or in practice. On the contrary, there is substantial evidence that voluntary professional activity by teachers acting singly, in small groups as building faculties, and occasionally on a district-wide basis, may be quite effective.

It is too early to make a judgment, but it may be that the movement toward competency-based, pre-service teacher education will become the forerunner of competency-based in-service education. Should that come to pass, then the days of "across-the-board" requirements to earn specific numbers of units of credits are numbered. Social scientists repeatedly have asserted that the success of in-service programs depends upon the degree to which teachers themselves identify and deal with their problems. The recognition of one's inability or of one's need for change, dissatisfaction with one's behavior in teaching, or a determined effort to improve the school are more successful in motivating productive in-service action than superiors' directives or intricate systems for rewarding the accumulation of quantifiable activity. Tyler's statement to the point is: "Often his (the teacher's) own estimate of his/her professional needs is more reliable than any other that can be made. (Therefore) . . . it is critical to assist the individual teacher to enhance the shrewdness of his/her judgments regarding his/her professional needs" (Tyler, 1971).

According, one key to effective in-service programs is the existence of local circumstances in which teachers can find their own problems and, having found them, become motivated to do something about them. Competent local leadership is responsible for establishing these conditions which include:

1. An awareness on the part of the professional staff that education growth is needed
2. A willingness to devote the necessary time and energy involved in study as a means of in-service education
3. The support and cooperation of the board of education
4. A corps of highly professional and progressive school administrators
5. School district policies that place value on experimentation, creative effort, and innovations in the school
6. School district policies that provide the necessary time for research and group study.

Individual teachers, for their part, must possess the desire to grow, a sensitivity to the opinions of others, and a desire to accept new challenges. Some such teachers are found on most facuties [illegible] they have been observed to engender a spirit of contagion—a spirit which assumes that professional persons have a duty and a desire to improve. Repeatedly, one observes that such contagion stimulates many who originally evidenced little interest in self-improvement.

Primary concern must be on the continual education of teachers, from the neophyte through maturity. Teachers must sense that they are being asked to continue their development—not because they are deficient, but because they must never stop growing. The ultimate propellant is professional self-respect, the desire to know, and the ultimate esteem of their colleagues. These ideals speak to the futility of basing in-service programs on coercive, extrinsic rewards.

The contagious attitude toward self-improvement and improvement of what goes on in the classroom is encouraged when teachers understand that it is they who are responsible for the quality of excellence in their schools and when they have overcome the feeling that they are helpless to effect change. Thus, the challenge to administration is to assure teachers the needed time to observe what they are doing, to train them in how to observe what they are doing, and relate them to appropriate resources, programs, and assistance. The pervading principals throughout this discussion is that of self-recognition of the need for change. As Goodlad (1974) stated, "Grafting a program onto an existing school program from the outside isn't going to work. A linear approach to changing one aspect of a curriculum and measuring the before and after isn't a good way to make educational change. It's a good way to design a product, but not a good way to incorporate it into the school."

When asked, "What can be said regarding reform in in-service education?" Jackson said, "(1) Give teachers more time to think about what they are doing. (2) Alter the power structure in education so that teachers have more control over their own professional destinies and administrators less." Put differently, "in-service growth must be regarded, not as something the system does to the individual, but as something the individual does to himself/herself. This requires giving teachers greater independence of mind and spirit and paralleling this freedom with increased responsibility for the quality of their work (Jackson, 1971).

The movement toward state-mandated re-certification programs has been noted. Whatever its virtues, re-certification offers little not currently obtainable under the existing policy-making authority of local boards of education at less cost. Whereas local districts now form their own in-service policies based upon their own perceptions of the in-service education needs peculiar to their districts, a statewide re-certification requirement would tend to remove the local districts from the decision-making arena with regard to the in-service education of their teachers. The reason is that re-certification requirements, like certification standards, though intended to be minimums, would tend to become universally interpreted as maximums. "The state has said this is what we need and that's what we will do" becomes the accepted creed.

But if the state department of education is not to impose a re-certification requirement like those described, how is it to exert significant leadership in in-service teacher education?

Years ago the Wisconsin DPI employed persons to count credits on transcripts to determine applicants' eligibility for initial teacher certification. Today, credit counting is no longer a major occupation in the certification division, happily having been supplanted by the process of institutional program approval. The approved program approach to teacher certification solidifies the triangle relationship involving the local schools, universities and colleges, and the Department of Public Instruction in a professional fashion. This model of an existing trustful relationship provides a sound basis for developing an exemplary state in-service education porgram.

An important saving feature of the institutional approval method of certification is that the possibility always exists for the individual who does not happen to have completed an "approved program" to have his application evaluated on another basis (perhaps credit counting) to qualify for certification. An appeals process must also be a part of the state in-service teacher education program.

In 1947, the Illinois Superintendent of Public Instruction initiated what was known as the Illinois Curriculum Program for the improvement of instructional programs in the public schools (Henry, 1957). This program contains several characteristics that could become elements of an effective Wisconsin plan. The program, although not explicitly mentioning in-service education was, in fact, just that. It employed an effective combination of state department leadership with virtually a complete absence of enforcement activity. With curriculum improvement being the end in view, local studies and local curriculum improvement projects, as well as statewide workshops, were encouraged. The department prepared and distributed publications helpful in curriculum development. Policy determination resided in a state steering committee, members of which acted as liaison officers with the various professional organizations and agencies they represented. The steering committee determined policies, approved publications, and developed suggestions for changes in specific plans. A consistent emphasis was maintained on local decision making, reflecting the conviction that it is important to deal with problems of concern to the participants.

The Illinois Curriculum Program did not specify how any participating school or school district should approach the problems chosen for study. It did insist, however, that schools wishing to take part be prepared to make some contribution of their own. These contributions normally took the form of making necessary time available for teacher in-service activity, providing funds required, and agreement by the schools to serve as observation-demonstration centers. The project also helped local school faculties learn to study themselves and their situations as a means of isolating significant problems and made available a fund of technical "know-how," enabling local faculties to carry on their self-studies. Somewhat unfortunately, what use would be made of data, and indeed whether data would be gathered at all, were matters of local decision. The Illinois program further assisted by sponsoring county- and state-wide workshops and by mobilizing resources, assembling rosters of counsultants, materials and publications lists. Finally, although the state network existed to help local schools address *their* problems and implement their decisions, it did serve as the auspices under which state efforts in nation-wide projects could be extended when such state and national needs were identified.

From the foregoing, several central ideas, emerge which should characterize a state plan for in-service education of teachers. They are:

1. Schools and school systems should be free to provide alternative, even rival, arrangements for in-service education. This maximizes the "Hawthorne Effect" and reduces the tendency toward large, all-encompassing projects in which the active participants outnumber the passive.
2. Stimulation of in-service activity is an appropriate, but not exclusive, central function. Means and methods determination should be decentralized.
3. Significant models and examples of teacher growth should be publicized. Publicity will encourage others to engage in the race against obsolescence. It reinforces the ef-

forts of those who are recognized and leads others to test the different ideas in practice.

4. Time for in-service growth must be provided.
5. Practitioners should rely, without apology, upon professional judgment—the carefully considered shared opinions of teachers and administrators. We have no choice, since we have no meaningful definition of what a person must know or be able to do in order to be an effective teacher. This should be done without apology, since every profession relies heavily upon "expert opinion."
6. There are two important variables in in-service education goals and techniques, neither of which is inclined to remain fixed; they are teachers and pupils. We must recognize and acknowledge, therefore, the ineffable complexity of human growth, development, and change.
7. The connection between in-service activities and the paycheck should be reduced or eliminated.
8. Individual teachers and self-determined groups of teachers should be encouraged to assume responsibility for their own professional development.
9. Services centralized in the state agency should include coordination of activities for the assessment of local in-service programs, assistance in the auditing of local needs, and provision and/or mobilization of in-service education resources.

A Plan for Wisconsin

In-service education is fundamentally an individual matter. As such it does not lend itself comfortably to legislation that would inflict pecuniary penalties or professional excommunication of non-conformists. Mass programs involving professional groups larger than building units, however democratically planned, predictably miss their targets of effectiveness and efficiency. The time-honored checklist as a method for determining a school district's annual in-service program effort or emphasis lies discredited. Teachers whose boards of education stipulate periodic earning of college credits show a distressing tendency to take what is convenient, often with the plausible explanation that they simply cannot find offerings that, in their judgment, genuinely address their needs. Should service on curriculum committees, book selection panels, assisting the Girl Scouts, or attending professional meetings be credited toward meeting one's in-service training obligation? Is in-service education so individual that management should have no participation in the determination of its form and content? Such questions, obviously demanding replies, cannot be answered with categoric responses.

Re-certification requirements involving periodic accumulations of re-certification units not only address the true objective of in-service education in a contrived manner but they also call upon the state to assume another policing role when no significant danger is at stake. Certification is justified, of course, to protect the public against charlatans and other unqualified practitioners. It has never seriously been claimed that certification should or could guarantee superior performance. But one of the greatest aversions to the re-certification model is that basically it is anti-professional. By definition, a professional is one who, among other things, conforms to the standards of a profession, one of which surely is that he/she maintain mastery of the techniques and knowledges necessary to provide the best service to clients. Obviously, there can be no "standard dosage" of in-service activity appropriate for meeting the requirements of all professionals.

The only justification for requiring every individual to earn six college credits or 120 in-service units every five years is that the requirement treats everybody equally. But what is equal treatment? Is six credits in English equal to six in mathematics or six in philosophy or 20 clock hours of "professional activity?" The truth is that six credits in English is not even equal to six credits in English. The recertification scheme patently makes no allowance for variations in need and opportunity, i.e., individual differences.

Finally, if a professional can be adjudged unprepared for his/her professional responsibilities, he/she should be disciplined for that reason—not because of missing a deadline for the completion of an in-service training installment.

The plan suggested in Figure 8.1 borrows elements from various programs and practices. It can be adapted to conform to existing Wisconsin statutory and administrative code constraints. It features a multi-level state coordinating network consisting of the following:

- State Coordinating Council
  - Department of Public Instruction representation:
    - elementary
    - secondary
    - teacher education
    - research and development
  - Regional (CESA) Council representation:
    - classroom teachers
    - administrators
  - Teacher education institution representation
- Regional (CESA) Coordinating Council
  - Constituent district representation
  - CESA staff representation
  - Teacher education institution representation

School District Coordinating Committee
  (Large districts may form sub-district coordinating committees.)
  Building representation
  Central staff representation
Building Coordination Committee
  Administrator, faculty and staff

Within this plan, the duties of the State Coordinating Council would be to:

1. Establish reporting policies and procedures
   a. Develop forms:
      (1) for local school use
      (2) building administrator's master plan
      (3) district (or sub-district) summary
      (4) regional report to state council
      (5) district superintendent's report form for reporting administrators' in-service plans
2. Establish guidelines for Regional Committee membership
3. Establish policy governing local district commitment of time and financial support; stipulating minimal levels of acceptability.
4. Provide programmatic leadership as appropriate:
   a. sponsor regional and statewide conferences
   b. disseminate research findings and reports of successful practice.
5. Hear appeals from decisions of Regional Councils
   a. Develop appeals procedure.

The Plan in Operation

The operational features of the plan are outlined below.

I. Intra-building Negotiation

Individual or groups of teachers meet with building administrator to reach an agreement regarding the individual's in-service objectives for the year and the plan for the achieving the objectives. The agreement may authorize a multi-year plan or the continuation of a plan begun during a previous year.

Preparatory to a conference with the building administrator, the teacher completes an Individual In-service Statement form indicating his/her objectives and a plan for their achievement. In discussion with the administrator the statement may be changed or a new statement written. When the two parties agree, each signs the statement. If the parties cannot agree, the statement is submitted (along with the administrator's comments) to an arbitration panel of peers.

II. Building Administrator's Master Plan

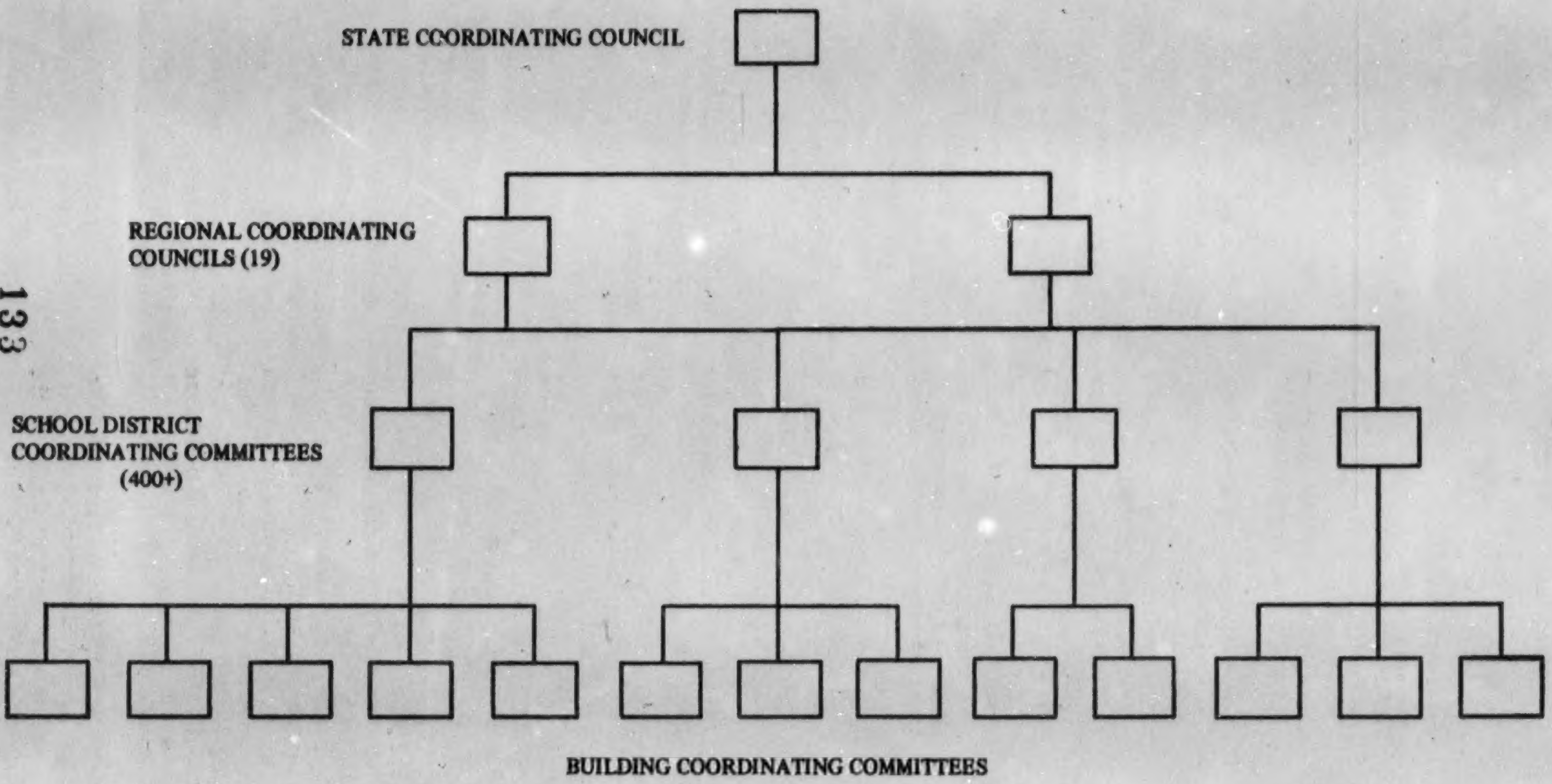
1. Summarizes agreements negotiated with teachers and staff using a form such as the following:
   (a) A conference has been held with every professional staff member and Individual In-service Statements developed for all involved.
       Yes ________
       No ________

   Provide explanation for a *No* response.
   (b) ________ Individual in-service Statements were submitted to peer panel arbitration.
   (c) Summary of in-service activity planned:
       Describe the activities of individuals and groups under headings as:
           College credit work
           Extension courses
           Independent study
           Travel
           Curriculum revision
           Community service
           Observation program
           etc.
           (Teachers need not be identified individually.)
   (d) General quantification of school's anticipated in-service educational activities, e.g., total credit hours, number of projects, number of clock hours, number of workshops, extent of participation, etc., as appropriate.
   (e) Statement of administrator's personal in-service objectives and plan endorsed by Superintendent.
2. Forwards the form to the District Coordinating Committee

III. School District Coordinaing Committee Report to Regional Council

1. Summarizes Master Plans using a form such as
   (a) Elementary Schools:
       Number of teachers ________
       Number of other professional personnel ________
       Types of activity:
       (1) mention individual and group endeavors using classifications such as:
           college and university study
           independent study
           professional conference participation
           professional writing
           inter-school visitation

Fig. 8.1 A Plan for In-Service Teacher Education in Wisconsin


STATE COORDINATING COUNCIL
REGIONAL COORDINATING COUNCILS (19)
SCHOOL DISTRICT COORDINATING COMMITTEES (400+)
BUILDING COORDINATING COMMITTEES

   - (2) using Building Master Plans estimate extent of participation by total professional staff
- (b) Secondary Schools:
  Number of teachers ....
  Number of other professional personnel ....
  Types of activity:
  - (1) mention individual and group endeavors using classifications such as:
    - college and university study
    - independent study
    - professional writing
    - inter-school visitation
  - (2) using Building Master Plans estimate extent of participation by total professional staff
- (c) District professional staff:
  The Superintendent of Schools should provide a summary of plans developed by district professional staff not attached to particular buildings together with a description of the manner in which individuals participated in formulating the plans. He/she should include his/her own professional development plan.
- (d) Attach individual Building Master Plans.

2. Forwards summary together with individual Building Master Plans to the Regional Coordinating Council.

3. Forwards record of building administrators' and central staff's negotiated in-service training plans.

IV. Regional Coordinating Council
- a. Reviews Building Administrators' Master Plans
- b. Approves/disapproves district summaries
- c. Approves/disapproves district superintendents' plans
- d. Reports to State Coordinating Council
- e. Prepares materials for State Coordinating Council consideration in cases of appeals from Regional Coordinating Council decisions.

V. State Coordinating Council
- a. Receives and reviews Regional Coordinating Council reports
- b. Hears appeals from decisions of the Regional Coordinating Councils
- c. Prepares recommendations for the State Superintendent of Public Instruction indicating that individual school districts have or have not complied with statutory and Administrative Code requirements regarding in-service education, that the districts do or do not provide a planned, continuous in-service program for the professional staff under criteria established by the Department of Public Instruction.

Under the above suggested plan, an individual teacher initiates his/her in-service proposal, and negotiates an agreement with the building administrator who represents the concerns of the building or system. Failing agreement, the teacher's own peers assume an appropriate professional arbitrating responsibility. The results of the negotiations are incorporated into the school district's report which becomes the district plan required by statute. The locus of major decision-making is the Regional Council. The State Council establishes policy through the development of necessary reporting forms, setting of minimal levels of compliance, and writing guidelines for Regional Council function and membership. It also serves as the court of last resort in appeals cases. The recommendations made to the State Superintendent by the State Coordinating Council, based on the Regional Council reports, provide the approximate basis for annual policy adjustments.

A major portion of teacher-chosen in-service activity will doubtless continue to involve college and university credits. But the opportunity is increased for local schools and districts to develop imaginative approaches almost without limit. The plan also allows for individual differences in the area of quantitative needs and responsibilities, better than plans featuring a rigid quantitative requirement for every teacher every year. It makes sense to enable the meeting of individual and system needs without necessarily requiring precisely the same type or amount of activity by all participants. However, a school district desiring to standardize in-service activity for all personnel obviously would do so.

Finally, the plan features dollar economy. A half-time position in DPI should suffice for the coordinating and monitoring functions, including service to the State Coordinating Council. An additional amount would be needed to meet the State Coordinating Council's expenses. Other expenses connected with the activities of the regional, district, and building coordinating bodies properly are the responsibility of the boards of education of the benefitting districts and, in many cases, are not likely to exceed present in-service expenditures. The suggested plan would not necessarily have any effect upon local school policies for compensating teachers for in-service activity.

Obviously, no state plan however comprehensive or detailed, is perfect in either its conception or operation. Hopefully, however, the foregoing will stimulate additional action toward the end that the in-service education of all teachers will continue to be enhanced in the years ahead.

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CHAPTER 9

Teacher Collective Negotiations

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Eleanore J. Roe

THIS PAPER WAS COMMISSIONED by Barbara Thompson, Wisconsin State Superintendent of Public Instruction, as part of a study of the functions and activities of the Department of Public Instruction (DPI). The study was instituted with a view to enlarging and improving upon the DPI's contribution to the education of the individual student and to the state public educational system as a whole, and thereby to the public interest.

The recent increase in the number of teacher strikes following an impasse or stalemate in contract negotiations has led to a reevaluation of the role of State Educational Agencies (SEA) in such situations, in Wisconsin and elsewhere. In Wisconsin, out of 436 school districts, 17 have experienced strikes by teacher groups despite a state statute making strikes by public employees illegal. The most disturbing of these strikes occurred in Hortonville in the Spring of 1974. Striking teachers were discharged by the school board and permanently replaced. The school board refused to reinstate them. The teachers sought to have the school board's action declared null and void on constitutional grounds and to gain reinstatement. The case finally reached the Wisconsin Supreme Court. The Court held, among other things, that the teachers were denied due process because the persons who made the decision to discharge were not "neutrals." A stay of enforcement was issued on April 30, 1975. (*Hortonville Education Association vs. Hortonville Jt. School Board No. 1*, 66 Wis. 2d 469, 2/5/75)

In a press release dated April 23, 1974, in the face of a threat to extend the Hortonville strike to other districts, Superintendent Thompson showed her awareness of the grave consequences of such action, saying:

> . . . There are orderly ways in which to bring about change to accomplish ends without violating the law and without widening the gap of public confidence in the teaching profession. To transfer the wounds of the Hortonville situation to other local school districts in Wisconsin would be unfortunate.

Statutory Framework Governing the Role of the Wisconsin DPI

General Duties and Powers

Article X, Wisconsin Constitution, as amended in 1902, provides, "The supervision of public instruction shall be vested in a state superintendent and such other officers as the legislature shall direct; and their qualifications, powers, duties and compensation shall be prescribed by law. . . "

Subchapter II of Chapter 115,, Wis. Stats, 1973, defines the duties and powers of the State Superintendent of Public Instruction. The Superintendent is assigned general supervision of the condition of the public schools and the duty to stimulate interest in education, to disseminate knowledge of means and methods to improve the public schools, and prescribe rules of practice. The Superintendent may also designate a representative for certain functions and authorize employment of nonprofessional classes of employees in the instructional programs of elementary and high schools.

Duties and Powers having a Bearing on Teacher Negotiations

Certain of the Superintendent's powers and/or duties under the statutes may affect teacher negotiations. The duty of the State Superintendent to license and certify teachers can have a major impact in a case where a school board hired replacements for striking teachers, because of the Superintendent's statutory obligation to determine the qualification of the replacement to teach [See Subsecs. (7), (9), (10) and (11), S115.28, General Duties, Wis. Stats. 1973.]

One of the most potentially effective powers of the State Superintendent in a sensitive strike situation involving a school board's attempt to replace its striking teachers with substitutions in order to satisfy state aid requirements, is that of issuing a limited time permit to a person who lacks the qualifications for a license. Such a permit may be granted only upon the written request of the employing official and/or the county or district administrator. The Rules of the DPI provide that the issuance shall be at the discretion of the State Superintendent. Similar discretion exists in the case of a Special license which is designed to allow a qualified teacher to teach outside his

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*We acknowledge with appreciation the research assistance for this paper provided by Frank Ziegler, J. D., 1975, University of Wisconsin-Madison Law School.

or her field and in a field for which he or she does not have legal qualifications. [Wis. Adm. Code, Section PI 3]

The State Superintendent clearly has discretion to act in a way which will have repercussions on negotiations in cases where parents attempt to escape the effects of the disruption caused by teacher strikes and a school board's replacement policy by providing instruction outside the school. Section 118.15(4), Wis. Stats. 1973, the compulsory school attendance law, requires that approval of the State Superintendent of Public Instruction be obtained for the substitution of instruction of children between 7 and 16 years of age outside the school session in which the child normally should be enrolled, in order to avoid the effect of §118.16, the truancy law. This may put pressure upon parents as well as school boards in teacher strike situations and thus, to some extent, affect negotiations. The power to withhold state aid under §121.17, Wis. Stats. 1973, et seq., if the Superintendent determines that the replacements are not qualified or that the school district has not provided the number of days of instruction qualifying it for state aids may have an important influence on negotiations. [§§121.01, 121.02(1)a and (2), 121.07, 121.17, Wis. Stats. 1973; Wis. Adm. Code §PI 8.01(1) and (2)] The breadth of discretion vested in the Superintendent may be observed in the following excerpts from §121.17:

> 121.17 *State aid withheld.* (1) (a) The state superintendent may withhold state aid from any school district in which the scope and character of the work are not maintained in such manner as to meet his approval.
>
> (b) No state aid may be paid in any year under this subchapter to a school district which fails to meet the requirements under subs. (2) and (3).
>
> (2) Unless the state superintendent is satisfied that the failure to meet the requirements of pars. (a) and (b) was occasioned by some extraordinary cause not arising from intention or neglect on the part of the responsible officers, every school district, except a school district operating under ch. 119, shall:
>
> (a) Hold school for at least 180 days each year, the days to be computed in accordance with s. 115.01 (10).
>
> (b) Employ teachers qualified under s. 118.19.
>
> (d) File all reports as required by state law.
>
> (3) Unless the state superintendent is satisfied that failure to meet the requirements of this subsection was occasioned by some extraordinary cause not arising from intention or neglect on the part of the responsible officers, a school district operating under ch. 119 shall, for the full period during which school is in session during each year as provided by the rules of the board of school directors, employ teachers qualified under s. 118.19 and pay a salary of not less than $266 a month to each regular teacher and of not less than $10 a day to each qualified continuous and substitute teacher...

The Superintendent's statutory function to determine whether a school has met the 180 day test in §121.17(2) (a), above quoted, is to some extent determined by the Departmental Rules. The present rules apparently elaborate on the statute. Wisconsin Administrative Code, Chapter PI 8, School District Standards, relates to §121.02, Wis. Stats. Section PI 801(h) requires:

> (h) The hours of a regular full school day for each school in the district shall be established by written school board bolicy. School shall be held and students shall receive actual instruction for the equivalent of at least 180 such regular full school days. School days on which school is not taught as stipulaed in section 115.01 (10) (a) and in-service days shall be in addition to the 180 days of actual instruction as herein required.

Statutory Framework In Wisconsin Governing Teacher Negotiations

Wisconsin led the states when, in 1959, the Legislature gave municipal employees, including elementary and high school teachers, the right to organize and bargain collectively with their employers. [Subchapter IV, Chapter 111, Wis. Stats. 1973] In 1971, Wisconsin made provision for collective bargaining by state employees. [Sub-chapter V, Chapter 111, Wis. Stats. 1973] The governing policy of the State is expressed in §111.70(6) of the Municipal Employment Relations Act in the following words:

> (6) *Declaration of Policy.* The public policy of the state as to labor disputes arising in municipal employment is to encourage voluntary settlement through the procedures of collective bargaining. Accordingly, it is in the public interest that municipal employes so desiring be given an opportunity to bargain collectively with the municipal employer through a labor organization or other representative of the employes' own choice. If such procedures fail, the parties should have available to them a fair, speedy, effective and, above all, peaceful procedure for settlement as provided in this subchapter.

Wisconsin protected the right to organize and bargain collectively by establishing a list of "prohibited practices" for municipal employers, including refusal to bargain collectively or discrimination in regard to hiring, tenure or other terms or conditions of employment. There is a corresponding list of "prohibited practices" of a municipal employee, individually or in concert with others.

The Wisconsin Employment Relations Commission (WERC), was originally created in Wisconsin as the Wisconsin Employment Relations Board, to administer the 1939 Wisconsin Employment Peace Act. Subsequently, its powers and duties were extended to cover the Municipal and State Employment Relations Acts when those acts were added to the statutes. The Municipal Employment Relations Act provides for its administration in Section 111.70(4)—"Powers of the Commission." This section outlines the methods to be used for peaceful settlement of disputes—specifying mediation, arbitration and fact finding. The Commission is granted power, upon the request of one or both of the parties or upon its own initiative, to function itself as mediator or arbitrator or to appoint one. It must also, when requested by either party, determine whether or not an impasse in negotiations has occurred justifying the initiation of fact finding. If the Commission upon investigation finds in the affirmative, it must appoint "a qualified, disinterested person or three-member panel to function as fact finder." It should also be noted that the parties themselves are not excluded from providing for mediation, arbitration or fact finding. There is nothing in the law which prevents the parties from engaging an independent private mediator, arbitrator or fact finder. There is also nothing in the statute to prevent a municipality and its employees from agreeing on and establishing their own fact finding procedure, at least if it meets the standards set forth in the statutory procedure. Section 111.70(4) (c) (3) states: "If a dispute has not been settled after a reasonable period of negotiation and *after settlement procedures, if any, established by the parties have been exhausted*, and the parties are deadlocked . . . either may petition the commission . . . to initiate fact finding. . . " [Emphasis supplied] As a matter of practice, however, the services of the Commission are usually invoked. Certain of the duties assigned to the WERC in Section 111.70(4) are couched in language indicating that they attach exclusively to that agency, e.g., a case in which a dispute concerns failure to bargain. Subsection (b) states that "the dispute shall be resolved by the commission on petition for a declaratory ruling . . . the decision of the commission . . . shall have the efefct of an order issued under s. 111.07." Subsection (d) 2a *requires*, "The commission shall determine the appropriate bargaining unit for the purpose of collective barganing. . . " It may conduct elections of representatives. Section 111.71—"General Provisions" authorizes the commission to adopt reasonable rules relative to its authority the Commission has done. [Wisconsin Administrative Code, Rules of Employment Relations Commission, Chapters ERB 10-19 inclusive.]

Statutory Provision In Other States

In General

While Wisconsin was the first state to extend collective bargaining rights to public employees, many states have addressed the problem since. At the present, more than half of the states have laws which grant to employees right in some degree to take part in the determination of their conditions of employment. These laws extend from the minimal right to "meet and confer" to comprehensive labor relations acts granting public employees full rights to collective bargaining. Almost half of the states grant teachers bargaining rights, some as part of a general public employment statute and others in separate legislation applying solely to teachers.

On the other hand, some states have hesitated to dilute control by the state or its subdivisions over the terms of employment of their employees. For instance, a 1959 North Carolina Act prohibits state and municipal employees or employees of any other agencies or units of government from becoming members of trade or labor unions as against the public policy of the state, "illegal, unlawful, void and of no effect." [§§95-85-95-88 of 1958 Replacement Vol. 2C of Gen. Stats.]

In Virginia, which has no state law governing collective bargaining by employees of the state or its subdivisions, the Attorney General held in October 1974 that local units of government may not enter into collective bargaining agreements with their employees. [AG Opinion, 10/7/74] An earlier opinion had held that state policy discourages but does not forbid negotiations between city officials and a city employees' union [AG Opinion, 7/1962].

Statutory Provisions for SEA Participation in Administration of Teacher Bargaining Statutes

A few states utilize the services of their State Department of Education to administer their teacher employment relations law. Among these are Connecticut, Maryland, North Dakota and Washington.

The Connecticut statute governing teacher and school board employment relations assigns to the Secretary of the State Board of Education the function of administrating the Act, which is largely self-executing. The Secretary must be given notice of requests for recognition by teacher organizations, conduct elections, if asked, and certify the elected organization. If the teacher-school board negotiations have reached an impasse, the Secretary must be notified and either act as mediator himself or select one to act. If no settlement is reached by this process the parties must arbitrate. Each party may select an arbitrator, who jointly may choose a third. If the parties fail to do so, the Secretary makes the selection. The decision of the arbitrators is advisory only.

In Maryland, the function of administering the Act is given to the State Board of Education, which is required to establish rules and regulations, supervise elections and certify teacher organizations. The Statute requires that, if requested, the Board give advice and assistance when impasses in negotiations occur.

Under the North Dakota statute, the State Board of Education is directed to establish reasonable rules and regulations for verifying employee organizations, conducting elections and certification. The Board must determine when negotiations have reached an impasse. The statute creates a three-member "education fact finding commission," the chairman appointed by the Superintendent of Public Instruction, one member by the Governor and one by the Attorney General. If the parties fail to agree upon a mediator, an aggrieved party may ask the Commission to assist. The Commission may act as fact finder and make recommendations itself or may appoint one to act. If the issue is not then resolved, the Commission must make the findings and recommendations public.

The State of Washington statute, enacted in 1965 and amended as of July 1973, accorded a role to the Superintendent of Public Instruction which could be very influential. While Washington does not give collective bargaining rights to teachers, it does provide that they have the right "to meet, confer and negotiate" with the employing board "to communicate the considered professional judgment of the certificated staff prior to the final adoption by the board of proposed school policies relating to, but not limited to, curriculum, textbook selection, in-service training, student teaching programs, personnel, hiring and assignment practices, leaves of absence, salaries and salary schedules and non-instructional duties." In the event that any jointly considered matter is not settled, either party may request the assistance and advice of a committee composed of educators and school directors appointed by the State Superintendent of Public Instruction. The committee must make a report and recommendations. The recommendations are advisory but preseumably would carry the weight of public support.

Innovations Filling a Statutory Void

In two states the problem of bargaining rights for at least state employees has been solved to some degree by unconventional means. Illinois has no labor relations act governing public employee organization, representation or collective bargaining. To fill the gap left open by the Legislature, the State Governor on September 4, 1973, issued Executive Order No. 6, establishing the right of public employees to organize and bargain collectively with their public employer, creating an office of collective bargaining and prohibiting interference or discrimination against the employees in the exercise of these rights. The order is based on "the public interest in the orderly and efficient operation of State government. . . " While this ostensibly refers to only state employees, the means employed clearly may have value to cover other employees.

In New Mexico, which has no labor relations act similar to those enacted in other states and in Wisconsin, a very innovative approach to the matter of employment relations has been used by the State Personnel Board in its adoption of "Public Employee-Management Relations Regulations." After noting that an Attorney General's Opinion holding that a state agency may enter into collective bargaining negotiations, the Regulations warned state agency heads that the state legislature had defeated a comprehensive public employees collective bargaining act in 1971. They stated that the Regulations of the Personnel Board were not intended to second guess or usurp the authority or responsibility of the legislature "but rather to provide a framework within which the Attorney General opinions can effectively be implemented rather than waiting to cope with problems after they reach the crisis stage." The framework which is then established by the Regulations amounts to a full-blown labor relations act, complete with impasse procedures, to be utilized by any state agency if it decides to establish a collective bargaining relationship with its employees. The State Personnel Board retained all authority and powers which are granted to the administrative body in the usual comprehensive employment relations act. [LRR, State Laws, SLL 41:207]

New York Statutes and Practices

New York Statutes. The New York Statute, known as the "Taylor Act," was enacted in 1967 and amended in 1970, 1971, 1972, 1973 and 1974. It is a comprehensive act, granting collective bargaining rights to public employees, expressly including public school, college and university teachers employed by the State or a State political subdivision or civil division, a school district or any governmental entity operating a public school, college or university. Section 205 of the Act creates a three-member public employment relations board, commonly called PERB, to be appointed by the Governor with the advice of the Senate. The Board's powers include the appointment of mediators, fact finders and representatives of both employee organizations and public employers who shall serve as technical advisors to the fact finding boards as the Board finds necessary. The Act requires the Board to establish procedures (1) to resolve disputes concerning the representation status of employees and employee organizations and (2) for the prevention of improper employer and employee organization practices. For its resolution of representational disputes, the Board is required to define appropriate employer-employee negotiating units, ascertain the employees' choice of represenatatives and certify such representatives.

The statute provides that the employer and representative employee organizaion may themselves provide a written procedure to settle collective negotiations disputes which reach impasse and which may end in binding arbitration. In the absence or failure thereof, the parties may request the Board to render assistance or the Board may do so upon its own motion. The Board's assistance may consist of appointment of a mediator and upon continuance of the impasse, of a fact finding board which shall make recommendations for settlement. These recommendations must be made public after five days. Where the impasse continues, the PERB may "take whatever steps it deems appropriate to resolve the dispute including . . . assistance in providing for voluntary arbitration; . . ."

When the public employer is a school district or its Board of Education the PERB may give the parties an opportunity to explain their positions with respect to the fact finding board's report to the legislative body of the employing agency. The legislative body may take whatever action as may be appropriate. Strikes are prohibited. The Act contains substantial penalties for striking, including one year probation and payroll deductions. Subsection 210.2(g) "Payroll deductions" states in part:

> (g) Payroll deductions. Not earlier than 30 nor later than 90 days following the date of such determination, the chief fiscal officer of the government involved shall deduct from the compensation of each such public employee an amount equal to twice his daily rate of pay for each day or part thereof that it was determined that he had violated this subdivision; such rate of pay to be computed as of the time of such violation . . . credit shall be allowed for amounts already withheld . . . on account of his absence from work or other withholding of services on such day or days. . .

The above statute is made inapplicable to any local government (other than the state or a state public authority) which adopts and uses its own provisions and procedures if approved by the PERB as substantially equivalent to those of the Taylor Law. New York City is exempted from requirement that the provisions and procedures must have the approval of the PERB. The New York Office of Collective Bargaining is established in New York City in accordance with this provision.

Practice in New York. The following information was obtained by Frank Ziegler, who performed research and assisted in the preparation of this paper. He states:

> This information was distilled from conversations with Mr. Vito Longo, Attorney, Office of Employer-Employee Relations, New York State Education Department; Mr. Harold Newman, Director of Conciliation, New York Public Employee Relations Board; and Professor June Weisberger, University of Wisconsin Law School, formerly Counsel to the School Board of Rochester, New York.

In New York, the State Education Department (SED) has an Office of Employer-Employee Relations (OEER) which was established in 1966. It is staffed by two persons who cooperate effectively with New York's Public Employee Relations Board (PERB). An OEER staff member frequently becomes directly involved in the resolution of teacher-school board impasse situations despite the absence of statutory authority. The OEER staff member's function is not that of an "assistant or substitute mediator;" rather, he serves as a resource person and consultant with respect to school finance, education laws and similar matters requiring expertise. The PERB mediator often defers to him on these questions. Primary mediation responsibility remains with PERB, and the OEER staff role centers upon "public relations" in making the SED's presence felt, which seemingly facilitates agreement. The PERB mediator may invite an OEER staff member to be present even without the consent of the parties. There is constant communication between the two agencies.

The OEER also provides informational and advice at the request of the parties. School boards utilize these services frequently to have their contracts reviewed and learn their members' duties and responsibilities in lieu of or in addition to consulting with the New York Association of School Boards. As a result, the OEER is looked upon by teacher organizations as being management-oriented and not truly neutral, despite OEER assertions to the contrary.

Another OEER function is the conduct of hearings in tenured teacher dismissal cases. An OEER staff member sets up a tripartite panel, serves as a hearing officer and participates in deciding the merits of the case.

Direct Involvement of The Wisconsin DPI in Teacher-School Board Disputes to Date

The Wisconsin Department of Public Instruction (DPI) recognizes that it has no express statutory authority to intervene in impasse situations. In her May 14, 1974, Deposition in the *Hortonville* case, Superintendent Thompson maintained that the DPI's role in Hortonville's school dispute was performed strictly in accordance with the state law and was limited to the giving of advice. [Deposition of Barbara Thompson, *Hortonville Education Association v. Hortonville Jt. School District No. 1*, p. 10]

The DPI has not been inactive, however, when work stoppages have occurred. Where a school board chose to operate the district's schools, the DPI promptly sent a team of staff members to these schools to determine whether or not they were functioning in compliance with the requirements for state aid. It should be noted, however, that apparently no school district has been denied state aid for failing to meet this test despite the ocurrence of strikes. The investigating team meets with local school officials, observes school operations and reports its findings to the State Superintendent, who approves full or partial credit toward the 180-school day requirement. The DPI claims that it adheres to state laws in its treatment of school districts whether or not there is a strike.

The DPI became involved in the *Hortonville* strike situation in its capacity as administrator of the state law. Subsection 121.02(a), Wis. Stats. 1973, requires that every teacher shall hold a certificate, license or permit to teach issued by the DPI before entering on duties for such position. The Wisconsin Education Association Council (WEAC) alleged that this standard was relaxed during the *Hortonville* strike so that some noncertified substitutes were allowed to teach and other individuals were teaching outside their area of certification. But the DPI investigation revealed that only certified or "certifiable" teachers were serving in the Hortonville classrooms, hence the school district received credit toward the 180-day requirement for state aid.

The WEAC alleged further that the DPI neglected its statutory obligations during the *Hortonville* strike. It charged that the Hortonville school district was not operating a complete program of offerings and services; and that this, when coupled with lowered attendance, meant that the school days were not properly counted. These allegations raised factual questions to be judged under the DPI's program inclusiveness standards. The investigating team found that the standards were satisfied. The WEAC also asserted that the DPI was providing struck schools with assistance in finding substitutes, but the DPI denied this.

A number of Hortonville parents withdrew their children from school and arranged for tutoring by striking teachers. In response, Superintendent Thompson informed them of the State Superintendent's responsibilities under the law governing alternatives to public school attendance. She stated that *prior* approval must be obtained from her office before such tutoring can be substituted for school attendance.

The foregoing discussion has dealt with the DPI's impact on teacher-school board disputes in the context of the agency's statutorily sanctioned roles. However, the DPI has not restricted itself to this narrow area of responsibility. On the contrary, Archie A. Buchmiller, Assistant DPI Superintendent, stated:

> I believe there is an important infiuential role for the state educational agency in collective bargaining processes even if the law does not provide for legal roles and even when a different state agency is required to carry out the formal aspects of labor relations processes. (Buchmiller, letter, March 25, 1974)

The DPI's informal involvement in past teacher collective negotiations merits attention. In previous impasse situations, the DPI has served in an information or "staff resource" role by providing public data from the Department's records to either disputant, upon request. For example, the DPI can provide general information on school district operations throughout the state which may be useful in collective negotiations or the DPI may clarify technical points and definitions with regard to state aid requirements, particularly in connection with the legal minimum number of teaching days.

The DPI has also been involved in collective negotiations in other ways. According to Dr. Buchmiller, it has intervened directly in several impasse situations, but only where both parties requested such intervention and the WERC approved. In the *Hortonville* strike, the school board and administration did not invite the DPI to become directly involved, and the teachers requested DPI intervention only after the strike had begun and replacements had been hired. At this point, the resolution of the controversy was transferred to the courts. In at least two situations, the *Wisconsin Rapids* and *Wausau* teacher disputes, Dr. Buchmiller said, the DPI became directly involved in resolving a bargaining impasse through his own efforts as a mediator and resource person. The WEAC attributed his effectiveness to proper use of "leverage" with regard to state aids. In the *Racine* strike situation, the DPI did not become directly involved despite its offers to assist. The Department kept in communication with the parties as an "interested observer" explaining the relevant laws, their proper interpretation and the public policy behind them, thus helping to produce agreement.

The DPI recognizes that neutrality is essential to its successful involvement in any teacher-school board dispute. However, in at least two collective bargaining cases, DPI *employees* sided with the local school districts. In response, the State Superintendent warned them of the

> . . . danger of the [DPI] being involved in *prohibited labor practices* while supposedly giving what is thought to be sound advice. In no way can DPI personnel take the side of the employer or the employee in the collective bargaining process. However, the DPI employee must continue to advise school districts and people throughout the state in educational matters concerning teachers and the public schools, in assisting the State Superintendent, in advising and informing on the subject of education. (Thompson, Memorandum, January 15, 1975.)

Despite its over-all position of non-partisanship, the DPI role is frequently viewed by teacher organizations as being that of an advocate or adversary.

Alternative SEA Roles

Having examined the legal framework and the practice in several states, including that of the New York SED and the Wisconsin DPI in disputes arising out of teacher collective negotiations, we turn next to a consideration of SEA roles in general. This task is greatly aided by the following reports made under Public Law 89-10, Title V, Section 505:

1. *The Role of the State Education Agency (SEA) in Negotiations*, Regional Interstate Planning Project, West Yellowstone, Montana, July 11, 1973, Colorado Department of Education. Project performed under terms of HEW Grant. [Excerpts from oral presentations of Dr. Jack Crowther and Kenneth Simon.] This is referred to as the *Grimsley Report.*
2. *State Education Agency (SEA) Roles in Teacher Collective Negotiations.* An Upper Midwest Regional Interstate Project—Indiana, Michigan, Minnesota, Ohio and Wisconsin. Administered by Wisconsin staff, Department of Public Instruction, Madison, Wisconsin. (Public Law 89-10- Title V, Section 505) Report written by Jon Peterson, Illinois Office of the Superintendent of Public Instruction. [Referred to as the *Peterson Report*] This is a basic research document produced under the HEW Grant.
3. *Conference Report on the Roles of State Departments of Education in the Collective Bargaining Process*, Newport, Rhode Island, October 1-2-3, 1974. Report on the Initial Conference on Roles, State Bargaining and State Funding. Financed by Public Law 89-10, Title V, Section 505, Bernard H. Singleton, Project Director; Ralph H. Lataille, Project Chairman. [Referred to as the *Singleton Report*]
4. *The Report on the Second Conference on the Prospects for Federal Collective Bargaining Legislation and its Potential Effect on Existing Collective Bargaining Legislation in the Participating States. Collective Bargaining and the Role of State Departments of Education.* Financed by Public Law 89-10, Title V, Section 505, Bernard H. Singleton, Project Director; Ralph H. Lataille, Project Chairman. January 21-22, 1975, Washington, D.C.
5. *National Symposium on Public Policy and State Education Agency Roles in Teacher Labor Relations*, Upper Midwest Regional Interstate Project, hosted by the Office of the Superintendent of Public Instruction, State of Illinois, May 10, 1974.

For the sake of convenience, the same seven descriptive role headings used in the above listed reports will be utilized here.

Direct Involvement Roles

Under this general category, three possible functions emerge: *mediation, fact finding,* and *arbitration.* In four or five states SEA fact finding exists in various forms (e.g., the North Dakota Education Fact Finding Commission, the chairman of which is appointed by the State Superintendent). Perhaps this can be justified where a state's Public Employment Agency (PEA) (e.g., the WERC, PERB, etc.) has not developed sophisticated procedures for fact finding after mediation has failed. In Wisconsin, however, a rather detailed set of provisions outlines the fact finding procedure to be initiated by the WERC after it investigates and determines that an impasse in fact exists. Under such circumstances, formal fact finding may fall outside the legitimate scope of DPI involvement in impasse resolution.

No SEAs are presently serving as interest or grievance arbitrators. While the Wisconsin statutes would permit the DPI to serve as a grievance arbitrator, it has not operated in this capacity.

This leaves mediation as the remaining area for direct involvement. According to the Peterson Report, Table 1, SEAs are in fact serving as mediators in six states (e.g., Connecticut and Maryland). In Wisconsin, the DPI's involvement in this field has apparently been limited to Dr. Buchmiller's successful efforts in a few impasse situations. The advisability of SEA assumption of a role here (i.e., in the absence of a statutory mandate) is chiefly dependent upon the *neutrality* or *partisanship* of its position. A poll of the various interest groups, discussed in the Singleton Report, page 5, indicated that while formal SEA direct involvement was generally disfavored, the opposite was true in the case of mediation.

Can an SEA serve effectively as a *neutral mediator*, or is its role more properly one of an advocate of management? At least one writer has concluded that an SEA is necessarily a biased party (Grimsley Report, p. 10).

> As a state begins providing more and more money for education, the pressure will increase on the state agency to be more actively involved in determining terms and conditions of employment for teachers. At the same time there is pressure on the state governments to avoid legislation on topics which school boards and teachers unions would prefer to negotiate on the local level. So the result will be that the Departments of Education will be asked to increase their role and their contributions in the field of collective bargaining by policy and research guidelines as distinct from the legislature enacting mandated standards. This means that there will be an increasing role for State Departments of Education to play. The state laws must be developed or changed to accom-

> modate the mandated and bargained conditions of employment.
>
> The question is posed at this point whether an increased role of the State Departments would be as an arm of the employer or district, or would they play more of a neutral role in mediation and so forth. My personal view is that the State Department of Education is the ultimate employer, the coordinating agency over all the local school districts. Teachers aren't going to accept a totally neutral role and I am not sure the public will. Rather, the State Department should take a role in making the system work better by making the school districts better able to cope with bargaining problems.

Under this view, an SEA would become directly involved in collective negotiations on behalf of local school boards. In at least eight states, SEAs do in fact assume some type of partisan role on behalf of management. PEAs, of course, are not committed to the side of either public employers or public employees. As a result, they can serve effectively as third party neutrals.

The parties themselves appear to strongly disapprove partisan SEA involvement. The DPI is officially committed to a non-aligned stance. Assuming that an SEA intends to pursue a neutral course in teacher collective negotiations, it faces a task of "image building." PEAs, such as the WERC, have spent years in building up their credibility as an effective neutral party.

Two further hurdles remain for SEA involvement in mediation: competence and jurisdiction. All parties concerned acknowledge that mediation is a delicate process. While it can be effective as a method for resolving disputes in the hands of a skilled person, an untrained person might do more harm than good.

Informational and Advisory Roles

It has been suggested that an SEA can contribute to disputes settlement by serving as a state-wide and area data bank and clearance center. In this capacity, it can provide general information and research data to both of the parties and to the WERC concerning state aid criteria, teacher salaries, pupil-teacher ratios, local school budget analysis, tax information (assessed valuation, rates, bond referenda, etc.), legal developments and court cases, and lists of district bargaining dates, among others.

SEAs in at least 20 states, including Wisconsin, unlike most PEAs, perform this type of function. This informal role has met with approval from all concerned. While teacher organizations have had significant research advantage in the past, school board associations have recently improved such services to management. The collective bargaining process is improved, however, where both parties can work from the same data. DPI involvement in this area, therefore, serves a valid purpose.

It has been suggested that SEAs should serve as advisors to teachers with respect to collective negotiations. Currently only *two* SEAs give advice *solely to school boards*, while at least 13 SEAs and 6 PEAs give advice to both sides in a dispute. The majority of those affected agree that the SEA's role here should be a *neutral* one and SEA advice should be available to all interested parties—legislators, the Governor's staff, and members of the public—and not exclusively to school boards or teacher organizations. The previously mentioned rationale for a non-partisan DPI holds true here; giving advice to *only one* of the disputants may risk the DPI's loss of the other party's trust and confidence.

Administrative Roles

Suggested possible SEA administrative functions include: determining the size and geographic boundaries of collective negotiation units; conducting local teacher representation elections and certifying the results; establishing who may become a member of a formally organized teacher negotiating group and determining which issues are legally negotiable. At present these duties are being performed by SEAs in only Connecticut and Maryland. On the other hand, PEAs perform these roles in many states, including Wisconsin.

Regulatory Roles

Under this general category, the following SEA roles seem appropriate: visiting schools to check attendance, school operations and teacher certification for purposes of state aid to the school district; issuing certificates or licenses to teachers hired as replacements for strikers; bringing suit for an injunction to force the opening of schools closed by an illegal strike; acting to cut off part or all aid to a district whose schools are closed due to a strike; and acting to revoke the certification of striking teachers. Few SEAs and virtually no PEAs are involved in this area, although the DPI makes an on-site investigation when a school district opens its schools in the face of a strike.

Policy Development Roles

Under this category, the following SEA functions have been proposed: developing position papers on teacher collective negotiations; promulgating rules governing the negotiations process; submitting or influencing legislation and sponsoring conferences and meetings of various interested parties on labor relations skills and procedures. At present, a substantial number of SEAs and PEAs are involved in this process.

There is support for a non-partisan SEA role in policy development concerning teacher-school board negotiations.

Communications Role

Suggested SEA communications roles include making phone calls or sending letters to parties involved in a dispute and making personal visits to the parties. SEAs in *16* states and PEAs in *7* states, including Wisconsin, do so. There is marginal support for SEA involvement here, but only on a non-partisan basis. [See Singleton Report]

Proposed Wisconsin Legislation

Background

In the private sector, collective bargaining is regarded as the policy most likely to achieve industrial democracy and peace. The right to strike is regarded as part of the collective bargaining process. Put another way, the right of a union to strike in support of its demands is regarded as the counterpart of the employer's right to say "no" to those demands. There are some restrictions on the right to strike even in the private sector; for example, where the "national health or safety" is imperiled. [Title II, Sec. 206-210, Labor Management Relations Act, 1947]

In the public sector, the classic view is that there is no legal or moral right to strike against the government even though the occupation involved is non-essential, such as a strike of greenskeepers at one of several publicly owned golf courses. The unions insist that the distinction between public and private employment is without substance and that the proponents of the first view are simply trying to keep wages and conditions of employment below the level prevailing in the private sector for identical or comparable work. The in-between or middle-of-the-road position is that if strikes are to be prohibited in the public sector, some procedure must be provided, such as compulsory arbitration, which will fill the power vacuum on the other side of the equation.

Bill AB-605 attempts to fill the vacuum by a combination of procedures with which Wisconsin employers and unions are familiar, namely, negotiations, i.e., collective bargaining, mediation, fact finding and arbitration. Negotiations (collective bargaining) involves face-to-face discussion between the disputants. Subchapter IV, Municipal Employment Act, provides as follows:

> **111.70 Municipal Employment. (1) Definitions.** As used in this subchapter:
>
> (d) "Collective bargaining" means the performance of the mutual obligation of a municipal employer, through its officers and agents, and the representatives of its employes, to meet and confer at reasonable times, in good faith, with respect to wages, hours and conditions of employment with the intention of reaching an agreement, or to resolve questions arising under such an agreement. The duty to bargain, however, does not compel either party to agree to a proposal or require the making of a concession. Collective bargaining includes the reduction of any agreement reached to written and signed document. The employer shall not be required to bargain on subjects reserved to management and direction of the governmental unit except insofar as the manner of exercise of such functions affects the wages, hours and conditions of employment of the employes. In creating this subchapter the legislature recognizes that the public employer must exercise its powers and responsibilities to act for the government and good order of the municipality, its commercial benefit and the health, safety and welfare of the public to assure orderly operations and functions within its jurisdiction, subject to those rights secured to public employes by the constitutions of this state and of the United States and by this subchapter.

Mediation involves the use of an "outsider" or "neutral" who has only the power of persuasion plus the support of public opinion in some cases. Mediation is defined by Section 111.11 Wis. Stats. as follows: [See also Section 111.70(4)(c)3]

> **Mediation.** (1) The commission may appoint any competent, impartial, distinterested person to act as mediator in any labor dispute either upon its own initiative or upon the request of one of the parties to the dispute. It shall be the function of such mediator to bring the parties together voluntarily under such favorable auspices as will tend to effectuate settlement of the dispute, but neither the mediator nor the commission shall have any power of compulsion in mediation proceedings...

Fact finding, with or without recommendations, is likewise a voluntary process, i.e., without binding effect. Voluntary arbitration is a procedure terminating in an award which is "final and binding" only because *the parties have agreed* at the outset that it be so. Compulsory arbitration, where it exists, is a product of the law. The award is "final and binding" only because *the government* has said so. Wisconsin has had compulsory arbitration of disputes involving enforcement personnel and firefighters since 1971. [See Wis. Stats. (1973) Chapter 111, Subchapter IV, Sections 111.70(4) (d) (jm) and 111.77.] Bill AB-605 extends the principle to other parts of the public sector including school teacher-school board disputes. There is some risk, of course, that a provision for arbitration will discourage bargaining and have the government assume the onus of decision-making but this risk must be weighed in the balance.

There are variations on the theme or hybrid procedures such as compulsory fact finding or non-binding arbitration, which are contradictions in terms, or med-arb, under which the same person is designated to mediate and to arbitrate if mediation is not successful in disposing of all the issues in dispute. (For further discussion, see *University of Wisconsin Center for Teaching and Research in Disputes Settlement*, Nathan P. Feinsinger, Wis. L. Rev., Vol. 1968, No. 2, pp. 349-354.)

Christenson Committee Bill

On April 2, 1975, the Special Committee on Collective Bargaining Impasses in Public Employment (Christenson Committee) submitted its recommendations to the Wisconsin Legislative Council. On April 9, 1975, these recommendations, now in the form of Assembly Bill AB-605, were referred to the Assembly Labor Committee. The bill is explained in an accompanying note as follows:

> PREFATORY NOTE: This bill substantially revises and expands the dispute settlement procedures contained in s. 111.70 of the statutes, Wisconsin's Municipal Employment Relations Act.
>
> As under present law, this bill authorizes initial mediation of collective bargaining disputes involving municipal employes by the Wisconsin Employment Relations Commission (WERC) at the request of either party or upon initiation of the commission. However, if mediation fails to resolve the dispute, either party may petition for fact-finding, whereupon the commission conducts an investigation and certifies the latest offer of the parties on each unresolved issue.
>
> If the commission decides to initiate fact-finding, it appoints a fact-finder, or if both parties request, a tripartite fact-finding panel. The fact-finder or panel, after conducting a hearing, issues nonbinding preliminary recommendations for settlement based on the latest offer of one of the parties on each issue in dispute. If these preliminary recommendations are not accepted by both parties within 5 days, such recommendations form a framework for continued negotiations ,including mediation by the fact finder or panel and the commission, for a period not to exceed 30 days.
>
> If posthearing negotiations and mediation fail to achieve a voluntary settlement, the fact finder or panel requests the parties to submit one final offer on all disputed issues for final and binding arbitration. Either party may formally refuse to submit a final offer, and if both parties so refuse, the employe organization may strike after giving 10 days' written notice. Otherwise, both parties must submit a final offer and the fact finder or panel acting as arbitrator is to adopt the complete final offer of one of the parties, without modification, which is final and binding on both parties and is incorporated into a written collective bargaining agreement.
>
> Except for the above-mentioned limited strike authorization, all other public employe strikes are prohibited and are per se enjoinable upon petition to circuit court by the employer or a citizen directly affected by the strike. Injunctive relief is also authorized for strikes which threaten the public health or safety and if an injunction is issued, the parties to the dispute are ordered to final and binding arbitration. Penalties (suspension of dues check-off and fair-share agreements) are provided for engaging in prohibited strikes, and fines are authorized for striking after an injunction or a binding arbitration award.

Amendment to AB-605

On May 28, 1975, Assembly Substitute Amendment 1, to 1975 AB-605, was offered by Representative Looby. This amended Bill is now [June 20, 1975] before the Legislature.

The principal change from AB-605 is the deletion of the fact finding provisions found in Section 111.70 (4) (c) 4, entitled "Factfinding and binding arbitration" and the substitution of "Mediation-Arbitration" in its place. The substituted section provides for the initiation of med-arb [as this process is generally known] by approximately the same process as AB-605 provided for fact-finding, namely, submission of a petition for initiation of the process by the WERC, investigation by the WERC to determine that a deadlock exists and certification of the results thereof including, in writing, the latest offer of the parties on each issue. If the Commission decides fact-finding should be initiated, it shall appoint a fact-finder. In the Amendment, the request and appointment is of an arbitrator rather than a fact-finder. The arbitrator is to hold mediation sessions much as the fact-finder would under AB-605. The arbitrator, in lieu of the fact-finder, then requests the parties to submit to him in writing a final offer on *each* disputed issue. This is a change from the procedure under fact-finding in AB-605 which required the submission of an offer "with respect to all previously disputed issues" for final and binding arbitration. Each bill provides that in the event both parties refuse to submit final offers, the employee organization may strike. If only one party refuses, that party's latest offer as certified by the Commission shall be its final offer. The fact-finder, turned arbitrator in the AB-605 version, must adopt one of the final offers of the parties, without modification. In the amended bill, he must adopt the final offer of one of the parties on each issue in dispute, without modification, which shall be final and binding on both parties.

Conclusion

It is a human tendency to identify one's own interests with the public interest. In the field of education, however, the public interest lies exclusively on the side of the school children, without qualification.

Where a teacher-school board dispute reaches the point at which governmental intervention is required, jurisdiction to proceed lies exclusively with the Wisconsin Employment Relations Commission (WERC), Wisconsin's prestigious all-purpose labor dispute settlement agency. It engages in or supervises mediation, fact finding, arbitration, the handling of unfair or prohibited practices, and related activities. That being the case, what role can the SEA (DPI) perform in Wisconsin, outside a government mandate, that it does not now perform in order to maintain and improve the educational opportunities for the children who may be involved? This and similar questions must be addressed in the near future.

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CHAPTER 10

The Cooperative Educational Service Agency

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THE INTERMEDIATE EDUCATIONAL UNIT, the Cooperative Educational Service Agency (CESA), is at a critical point in its development. With school districts having greatly increased program and service demands mandated upon them by the state, and with property taxpayers in revolt, the local school district may find itself increasingly relying on the intermediate educational agency.

To provide a perspective from which to examine CESAs, this chapter first presents an historical overview of the development of the agency. It next describes a set of programs and services presently provided by these intermediate agencies, including some suggestions for refining existing programs and developing further programs.

Since the success of CESAs depends almost entirely on local district "cooperation," CESAs are then viewed from a local perspective, with examination given to local, state, and federal interfaces. Ways of examining CESAs role in the overall structure of school administration and educational programming are suggested, with some recommendations toward a more refined conceptualization of the CESA. Finally, a succinct set of recommendations charting the future course of CESAs is offered.

CESA: An Historical Perspective

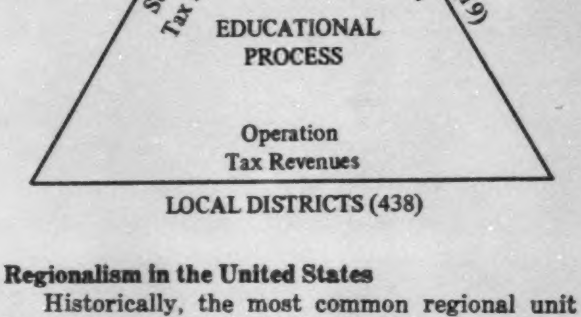
Public schools are largely local institutions. The buildings are located in or near the area where pupils reside, or where school buses can bring pupils to the classrooms in the morning and return them to their homes by late afternoon. Schools are identified with the communities of their location. They are administered and operated by school boards consisting of local lay people. They are generators of intense and often controversial local concerns when changes in conventional modes of operation occur, such as a proposed school tax levy increase or promotion of racial integration through school bussing.

Public schools are also state institutions by virtue of federal and state constitutional provisions. Statutory guidelines determine the manner of electing local school boards and the manner in which they will operate the schools. Each year a vast amount of money collected through the channels of the Wisconsin state tax structure is distributed for the operation of local school districts as determined by the current legislative school aid formula. A state constitutional officer, selected by popular election every four years, supervises the entire state-wide school system.

Public schools in Wisconsin additionally have a regional relationship which in some form extends back to 1848 when Wisconsin became a state. The present form was established in 1965 through legislative enactment when each school district was joined with a number of adjacent districts to form a multi-district agency. This regional unit, of which there are 19, is known as a Cooperative Educational Service Agency. Its purpose, stated in Chapter 565, Session Laws of 1963, is to serve, ". . . as a convenience for local districts in cooperatively providing special educational services . . ."

At the risk of over-simplification, the territorial relationship to the educational process in Wisconsin is somewhat as diagrammed below. (Fig. 10.1). No attempt is made here to represent quantitatively the relative amount of impact upon the educational process by each of the three territorial elements. However, the purpose of this study is to examine the role in Wisconsin public education of the regional unit, historically, currently, and as projected into the future.

Fig. 10.1 Tri-Dimensional Nature of the Public Education Structure



Regionalism in the United States

Historically, the most common regional unit in state school systems is the county. Many states upon admission to statehood continued the county system of government under which they had operated as territories. Providing for a county school official was an easy and logical step, consistent with the rationale for county government. The prevailing title quite logically was County Superintendent of Schools.

In several states, mainly in the South, the county became the local unit for school tax and administrative purposes. With the exception of cities that became separate school districts, the remainder of the county became the local school district. Examples of states in which the county is the local school unit are Alabama, Florida, Georgia, Louisiana, Maryland, Mississippi, South Carolina, Virginia and West Virginia.

In Wisconsin and other states of the Northwest territory, the County Superintendency took the form of a regional office acting as an arm of the State Superintendent with supervisory jurisdiction over the many local school districts within the county with the exception of city school districts. Educational terminology, recognizing that the term county superintendency may signify either a local or a regional school entity and that regional units need not be restricted to county boundaries, provides the term intermediate unit. Although geographically appropriate, this term projects the inference of a jurisdictional relationship to the school districts "under its umbrella," a concept which may not only be incorrect but totally unacceptable to people who hold important the concept of autonomy of local school districts. For purposes of this paper, regional organization in a state's public school system may be defined as any legally established division of a state along appropriate boundaries dividing the state into a number of units each of which includes several school districts.

Educational activity of a regional unit takes its form from its statutory provisions. The laws of a state could be such that it is truly an intermediate unit with substantive powers over the member local districts. In other states it could have a low-key coordinating function providing only such services as are agreed to by contract with each local district. Depending on its statutory authority, a regional educational entity could direct the operation of local school districts or it could be only a standby auxiliary that goes into action only as authorized by a local district.

In 1971-72, according to the Department of Health, Education and Welfare, there were twenty-one states having a system of regional units that included the entire territory of each state (Arizona, Arkansas, California, Colorado, Illinois, Indiana, Iowa, Michigan, Mississippi, Missouri, Montana, Nebraska, New Hampshire, New Jersey, North Dakota, Oklahoma, Oregon, Texas, Vermont, Washington, and Wisconsin). In a number of states, new multi-district regions have been legislated or are in operation, but have not been organized as yet throughout the entire state (examples are Georgia, Kansas, Maine, Massachusetts, Minnesota, New York, North Dakota, Ohio, Pennsylvania, South Carolina, South Dakota, and Wyoming).

Regionalism in Wisconsin's School History

In 1840, Wisconsin's territorial government provided that the schools and school land of each town (36 square miles) were to be managed by three school commissioners. In populous areas there may have been two or more schools in a town each operated independently of the others. In the first year of statehood (1848) the legislature replaced the town commissioners with an elected town superintendent of schools. This part-time official, a lay citizen, had a good deal of regulatory power in school matters, even that of creating and altering school districts. However, because of his power, he was viewed with suspicion and became educationally ineffective through the combination of his inexpertise in school matters and a reluctance to make decisions that would jeopardize his chances for re-election. His reorganization powers were soon transferred to the town board and in 1861 the legislature terminated his office and created another.

In the year 1862, 743 town superintendents left office as 54 newly elected county superintendents took over. County government which existed quite generally in the states, was, in Wisconsin, a holdover from territorial days. Not particularly popular with the people, it served a needed role in land transactions, law enforcement, and the recording of vital statistics. The statute which created the county superintendent of schools provided more extensive duties but somewhat less power than that originally held by the town superintendents. The salary and expenses of this office were borne by the county. Holders of the office were determined by popular election. The office, usually located in the county court house, brought the superintendent into a day-to-day association with other county officials. In 1901, the legislature changed the election time from that of the November elections to the time of the spring, judicial elections. Hence, an effort was made to dissociate the school office from the political involvement of the county's administrative officials.

In creating the county superintendency, the state's lawmakers had established a regional educational agency of rather large geographic dimension for the conditions of those days. Furthermore, the county board members from non-city territory (the county superintendent's jurisdiction did not extend to the cities) became something of a county board of education in that they voted the tax to support the county superintendent's office. Thus it came about that a regional, elected school official who acted as an arm of the state was thrust into the state's school system, between the state Department of Public Instruction and the school districts of a county area. Legal qualifications for those seeking election to this office in the early years were minimal. However, the statutory duties of the office were such as to promote a relationship to the many small districts which generated aspects of professionalism. Following the adoption of statutory qualifications in 1895, more and more persons with a background of experience in education were attracted to the office. Many of them were successful in gaining election and brought an element of leadership to the many rural and village elementary schools. Duties of the office at one time or another through the 102 years of its existence included providing educational leadership, visiting the schools, inquiring into matters relating to the course of study, records, modes of instruction, textbooks and discipline of the schools, keeping informed upon new techniques and procedures of instruction, advising school boards and teachers, making reports and investigations as required by the state superintendent, certifying property valuations of joint districts, performing services on a contract basis with city school districts, directing repairs to be made to school buildings, reporting the conditions of the schools to the county boards, and naming of rural schoolhouses.

As early Wisconsin settlers moved into the cut-over timberland vacated by the lumbering industry, farm families established themselves, raised crops, and reared children. Post-Civil War immigration brought large numbers of German, Scandinavian, Polish and Irish immigrants as well as other European nationalities and second and third generation Americans from eastern states. An increased number of schools were obviously needed. The county superintendent had a role in working with local officials to establish school districts, most of which were served by the one-room school. He filled a need in providing service to these early, primitive one-teacher schools which dominated the rural education scene for almost a century. As late as the 1952-53 school year, 3,243 one-teacher school districts were operating in Wisconsin, but economic and social changes were taking their toll on their life expectancy.

. Perhaps the single most important legislative step taken affecting the county superintendency occurred in 1915 when the county supervising-teaching law was passed. It had become apparent to state school officials that the county superintendent, alone, was unable to provide professional help needed by the many small county schools and still take care of the reporting and other perfunctory duties of the office. Besides providing for a qualified elementary supervising teacher for each country, the law provided that the state underwrite the salary and expenses of the position.

Needless to say, county boards, not known for a great willingness to spend money, found this arrangement quite satisfactory. It became not at all uncommon for the county supervising teacher to enjoy a greater salary than her (the position was usually filled by a woman) employer, the county superintendent. The situation was remedied somewhat a few years later when the legislature enacted a law that provided state support for a portion of the county superintendent's salary.

With the advent of the professionally trained supervisors into the county system, small schools profited in improved teaching methods, curriculum organization and general effectiveness. Populous counties employed more than one general supervisor. Later, some counties employed high school and special subject teachers and supervisors.

Transportation methods at the beginning of the county supervising teacher era were slowly emerging from the horse and buggy system to that of the automobile. A good deal of time had to be spent in traveling from one small settlement to another. Transportation conditions improved faster than the schools. The one room school was still in existence and serving it, with its enrollment ranging anywhere from five to forty, was still a most inefficient practice.

Erosion of the County Superintendency

The Wisconsin statutes provided a jurisdiction relationship for the county superintendents over all public elementary school districts, all union high (9-12) districts and small K-12 districts. In a span of twenty years (1938-1958) (note Table 10.1) the number of elementary districts in the county superintendents' territory diminished by more than 4,200 districts. The decrease in one-room districts alone was in excess of 3,800, a great number of which became attached to larger K-12 districts exempt by law from the county system. This dramatic reduction of low enrollment districts signified an equally dramatic reduction in a type of need the county superintendent's office had long served.

The decade of the 1940's, which included World War II and the immediate post war period, was a contributing factor to the demise of rural districts. Industrial employment with its high wages attracted teachers and many others who may have aspired to teaching. The one room school was affected the most as its teachers were drawn off to the more attractive city jobs in teaching or industry. The resulting teacher shortage drew attention to the advantages of school consolidation, stimulated school reorganization activity and further made inroads upon the county superintendent's area.

By the early 1950's only a few districts in some counties retained an association with the county office. Encouraged by State Superintendent of

TABLE 10.1

Number of School Districts in Wisconsin: 1900-1973

	Elementary Districts			High Schools			
Year (1)	*Non-Operating (2)*	*One Room (3)*	*Total Elem. Dists. (4)*	*K-or 1-12 (5)*	*Union High (6)*	*Total (7)*	*Total Dists. (8)*
1900	NA	NA	1,429	NA	NA	1	1,430
1933	380	6,257	7,343	376	52	428	7,771
1938	472	6,181	7,351	344	82	426	7,777
1943	870	5,063	6,592	NA	NA	442	7,034
1948	1,074	3,845	5,618	346	81	427	6,045
1953	534	3,243	4,475	364	70	434	4,909
1958	29	2,380	3,152	336	80	416	3,568
1963	5	174	429	337	60	397	826
1968	3	7	116	371	23	394	510
1973	0	0	60	369	13	382	442

Schools George E. Watson, the legislature in 1953 enacted a law which enabled, "The county boards of two or more counties — by the adoption of a joint resolution (to) employ one superintendent of schools for their counties." Thirty-five formed 13 jointures by 1962. In 1950, 72 county superintendents (including two in the county of Dane) held office. From 1962 to 1965 there were but 51 county superintendents.

Growth and economic changes had wrought changes in the schools of the State. The suggestion is made that the evolution of schools from their limited, primitive nature to their more extensive, sophisticated development had placed them beyond the resources of the elected ,county official whose principal purpose was to help administer low enrollment schools. It is not incorrect to say that the county superintendent, in carrying out the duties of his office by first, organizing small enrollment elementary schools and second, helping them to reorganize into muti-teacher schools, brought about the obsolescence of his own office. It appears that serious legislative intent was never given to extending the county superintendent's jurisdiction to the independent K-12 districts he helped to form, although by law he was allowed to work with these districts cooperatively. Such legislation would have produced, at the best, a redundancy of administrative effort and, at the worst, a dichotomy of administrative control.

Demise of the County Superintendency

At the behest of the Wisconsin County Superintendent's Association, the Department of Public Instruction and the University of Wisconsin School of Education undertook a comprehensive research study of the County Superintendency. The results of the two-year study were published in September, 1957. The study, which was coordinated by State Superintendent George E. Watson and Professor Russell T. Gregg of the University of Wisconsin, examined the existing and needed functions of the intermediate unit in leadership, service, reporting and instruction. To arrive at its conclusions administrators in Wisconsin schools, professional members of the State Department of Public Instruction and selected lay citizens were interviewed in person or by questionnaire. Results of the study supported the hypothesis that, "An administrative unit between the state and local districts is needed to aid in providing an optimum educational program," and rejected the hypothesis that, "The county school superintendency as now constituted is adequate to aid in providing an optimum educational program."

Recommendations were as follows: "That all territory . . . be organized into satisfactory intermediate units . . . Districts with an enrollment of 10,000 or more . . . may be permitted to remain independent . . . , but should be included for tax purposes . . . and entitled to services . . . It is recommended that the following criteria be applied . . ."

1. The major function . . should be high quality leadership and educational services to local districts, performing liaison and reporting functions . . . and offering specialized instructional programs . . .
2. There should be a minimum enrollment of 10,000 pupils.
3. The boundaries . . . should be a logical combination of local school districts . . .
4. A board of education, elected at large, should be in direct control . . .
5. . . . the intermediate unit should be fiscally independent. It should have independent taxing power . . . State funds should be made available . . .
6. The superintendent . . . should be . . . of such quality as to earn and deserve high professional recognition . . .
7. The legal functions . . . should be defined as clearly as practicable. This unit should have legal authority for those functions assigned to it by law.
8. The basic orientation . . . should be to the local school districts . . . It should have re-

sponsibilities to the State Department of Public Instruction. Its relationships to the local districts should be that of helper rather than master.

9. Both the structure and the functions... should be sufficiently flexible for adaptation to changing educational conditions and needs. There should be provision for reorganization of intermediate units... As local districts become more... capable of providing their own services, it should be possible... to discontinue functions no longer needed and to assume others which changing conditions may indicate as desirable.

Shortly following the publication of the study, a bill was introduced in the legislature which sought to set up a system of regulatory units with taxing authority. The proposed structure was unacceptable to a great number of people and failed to be recommended for adoption by the legislature's committee on education.

Nevertheless, the study of the County Superintendency brought into focus the reduced role of that office in terms of the changes brought about in the schools. Again the county superintendent's area experienced reduction by legislative action. During the 1958-59 school year there were 2,806 elementary school districts not included in high school districts, all of which were subject to the administration of the county office. Of this number, 2,012 were one-room schools. A 1959 law required every elementary district to be attached to a high school district by July 1, 1962. By 1962-63, the total of unattached districts had been reduced to 429, most of which were under litigation resulting only in a delaying action. In effect the county superintendent retained his title but was without portfolio.

It is reasonable to assume that the county superintendent had been created in recognition of the inadequacies inherent in the one-room district school. He was assumed to be professionally competent, and was in a position to help the district meet the basic goals of the multiple-grade one-teacher school. However, new developments revealed new areas of educational responsibility. Yesterday's goals may have retained their validity but newer ones loomed into view suggesting that the old ones were inadequate in terms of today's and tomorrow's requirements.

Strongly suggested in the Wisconsin state constitution and strongly believed by a large sector of the state citizenry is the principle that education should be applied, administered and controlled at the local level. The state constitution further implies that there should be protection against mediocrity and inadequacy in the local district effort. Foundation for both statements, above, is found in Article X, Sec. 3, which instructs the legislature to make laws, "... for the establishment of district schools ..." and in Article X, Sec. 1, which states, "The supervision of public instruction shall be vested in a state superintendent and such other officers as the legislature shall direct..."

Hence, it must be understood that any suggestions for changes in Wisconsin's system of public schools still assumes (1) that education is applied, administered, and controlled locally, and (2) that the state has an obligation through its state superintendent and other officers to assure adequate effort at the local level.

Upon being sworn into office in 1961, State Superintendent Angus Rothwell announced his interest in a thorough examination of the county superintendency. A committee formed by representatives of educational organizations held several meetings and addressed itself to drafting proposed legislation incorporating the philosophy and function of a cooperative regional agency that would be helpful to local districts and acceptable to the legislature. After some delay arising from a disposition on the part of a number of legislators to terminate the office of the county superintendent without replacement, a multidistrict regional educational agency law became official on June 10, 1964. Chapter 565 of the Laws of 1963 discontinued the county superintendency and provided machinery for establishing regional areas "not to exceed twenty-five Cooperative Educational Service Agencies."

Although the need for an office similar to the county superintendency had long expired, Wisconsin's school leaders were reluctant to close the door on some type of regional organization. They wanted no regulatory unit that would challenge the "de facto" autonomy of local school districts. Yet there was recognition that school districts do not become completely adequate upon becoming "autonomous." There was recognition, too, of some identifiable needs and others lurking in the unexposed future that could best be served on a cooperative, regional level. Some of them were:

1. Limiting factors such as enrollment, geographic and fiscal resources cause many district programs to be insufficient.
2. Some needs are of such [illegible] incidence that school officials are inclined to ignore them.
3. Some needs are of a regional nature so that a single district approach is inappropriate.
4. In attempting to meet all needs on a single district level, over staffing and understaffing occur, resulting in educational and fiscal inefficiencies.

Cooperative Education Service Agencies were envisioned to meet these needs.

Establishing CESAs

The law creating the Cooperative Educational Service Agencies described their purpose as follows:

> **PURPOSE. The organization of school districts in Wisconsin is such that there is a recognized need for some type of a service unit between the local district and state superintendent level. There is hereby created such units designed to serve educational needs in all areas of Wisconsin. Such cooperative educational agencies are created by the state as a convenience for local districts in cooperatively providing special educational services to teachers, students, school boards, administrators, and others and may include, but is not restricted because of enumeration, such programs as research, special student classes, data collection, processing and dissemination, in-service programs and liaison between the state and local school districts.**

The statutory seventeen member committee drawn from the legislature, the state's school establishment, and local and county government, charged with setting up "not to exceed 25 agencies," held several meetings and hearings, finally certifying a plan for 19 Cooperative Educational Service Agencies.

The CESA law reflects much of the substance of the recommendations and conclusions of the Watson and Gregg Study of the Wisconsin County Superintendency. The "not to exceed eleven member(s)" board of control for each agency is drawn from the current school board membership of the districts. The professional leader, the cordinator, is hired by the board of control and is required to hold the highest level of state educational administration certification. The state provides administrative funds (originally up to $29,000 per agency; in 1974, $36,300) annually from which the coordinator's salary and office expenses are paid. The top school administrator of each school district has a statutory involvement in the agency as a member of the Professional Advisory Committee. The Cooperative Educational Service Agency has no regulatory powers over school districts. There is no provision for the ownership of real property, hence office quarters are rented, a situation causing location problems in some CESA's.

CESA programs are undertaken only in the districts which officially agree to participate in them. No program may be forced upon a district by the agency as it exists only in an auxiliary capacity to coordinate cooperative programs planned and purchased by the members districts. The CESA organization, at this writing, is in its tenth year of operation, having been initiated on July 1, 1965.

Role of CESA in School Reorganization

With the disappearance of the county superintendent, his role as secretary to the county school committee, a committee appointed by the county board with a jurisdictional role in school reorganization, was given to the agency coordinator. As each agency contained all or parts of up to five counties, the secretary's assignment was an awkward one. The 1965 legislature took note of the confusion caused by this arrangement and enacted legislation which abolished the county school committees and provided an agency school committee of which the agency coordinator was the ex-officio, non-voting secretary. The agency school committee of seven members is appointed by the board of control of each agency. It is charged by the statute to study the school district structure of the CESA and where it appears desirable, to prepare a plan that will strengthen the school districts in the area. Through its own motion or in response to petitions submitted by electors of the area in question the committee acts on proposed changes in school district boundaries. The CESA coordinator, in the statutory role as secretary of the school committee, receives petitions, sets the dates for hearings, certifies the action taken by the committee and conducts the general business of the committee.

For the most part a good deal of controversy develops when steps are taken to reorganize school districts. Such controversy rarely subsides upon the Agency School Committee's making a decision. Because the contacts made with the committee are channeled through its secretary and because all communications emanating from the committee come officially from the secretary, he/she is often closely identified with the decision. Like the couriers of old who brought bad news to the king and were executed for their trouble, the CESA coordinator-secretary and the CESA organization itself are blamed for unpopular decisions. Many coordinators, although trying conscientiously to carry out their assignment as Agency School Committee secretaries, feel the image created in this role works negatively for them in their efforts to persuade school administrators and school board members to participate in cooperative service programs. The benefits of the past two decades of school reorganization notwithstanding, a number of people view with suspicion the role of a person and agency the purpose of which appears to be doing something that is going to upset the existing school arrangements. A closer look at existent CESA programs and services may reduce that suspicion.

CESA: Programs and Services

Wisconsin now has almost ten years of experience with CESAs since their start in July, 1965. The kinds of programs and services which they provide today are quite different than those of the earlier years. Undoubtedly, they will continue to change and to evolve, but if the trends that have been developing are analyzed, then some predictions can be made as to directions in the next ten years.

There are several general factors which may be used to describe a school district's program. The number of pupils enrolled in a district determines to a great extent its ability to provide a complete program. Services actually promoted by all CESAs are perhaps best described by the number of shared personnel they provide. The level of outside funding and the per pupil CESA expenditure are also useful descriptors of CESA arrangements.

CESA programs may also be described by the service functions they do and should provide, such as, serving as a communications framework, aiding in educational program planning and development, providing special education programs and supportive services, developing inservice programs, participating in federally funded projects, maintaining a liaison with institutions of higher education, aiding in business management functions, developing educational media centers, and providing more for comprehensive student activities, including educational alternatives.

General Description of CESAs

Enrollment numbers have a direct ratio to the quality of programs available. There are features in the Wisconsin geography and demography that will make it necessary for a great number of school districts to remain relatively small for years to come. Although the statistics have changed slightly since 1972-73, during that year the number and percent of Wisconsin school districts of varying sizes was as shown in Table 10.2.

It will be seen that almost half of the districts (48%) enroll less than 1000 students. More than three-fourths of the districts enroll less than 2,000. Most authorities are quite generally agreed that administrative units ought to consist of at least 2,000 pupils. Several authors indicate an enrollment of at least 10,000 is needed for a school district to be both self-sufficient and efficient.

TABLE 10.2
NUMBER AND PERCENT
OF WISCONSIN SCHOOL DISTRICTS
BY ENROLLMENT

Enrollment	1972-73 *Number*	*Percent*
1-499	86	19.3
500-999	128	28.7
1,000-1,999	124	27.9
2,000-9,999	93	20.9
10,000 plus	14	3.2
	445	100.0

It is fair to assume that very few in Wisconsin's 438 districts (1974-75) are self-sufficient. If so, this achievement is at great expense to the local taxpayers. School fiscal control being what it is, it is more reasonable to suppose that the smaller districts are not approaching a complete program unless getting help, in some phases of their programs, from regional units such as the Cooperative Educational Service Agencies. There are indications that there is at least token effort in the latter area with manifestations of improvement each year.

It is apparent from Table 10.3 that at least three categories are popular services provided by the Cooperative Service Agencies. Professionals trained for special education, noted in the table as "Handicapped" lead in the number of shared personnel. Following that group is the speech therapist category and then the guidance group which includes psychologists and psychometrists. Curriculum and subject matter consultants are fourth in terms of numbers, followed by teachers as a general group.

The number of shared personnel provided by CESA is set out in Table 10.4 Not enough data is available to describe trends across districts or years.

Stephen's THE EMERGENCE OF THE REGIONAL EDUCATIONAL SERVICE AGENCY CONCEPT IN EDUCATION, reports the enrollment size of a school which requires its having a full time certificated person in that type of program. (See Table 10.5).

Reflecting upon the number of school districts having enrollments less than 3,000 it can be assumed that there is great potential in Wisconsin for an increase in CESA services.

The Wisconsin regional units also have been recipients of federal grants for regional programs. In some cases member districts have contracted for an entire program to serve the districts of the area and have supplied the services to the CESA unit to parcel out to other school districts. Another program for which the regional units are well-suited is cooperative purchasing.

An indication of the quantity of dollar activity generated under the agencies' auspices is shown in a Shared Service Report tabulated by the DPI showing the source of agency funds for the 1973-74 school year. In this report (see Table 10.6) the amounts given in the first, fifth, and sixth dollar columns are the amounts actually purchased with school district dollars. The other columns indicate the state aids supporting these programs and also the federal aid derived from contracts with the United States Office of Education. The significant figures in revealing local districts use of CESA programs are the totals of the first, fifth, and sixth columns:

Educational Services	$8,569,326	(column 1)
Cooperative Purchases	$3,561,731	(column 5)
Educational Package	$ 834,043	(column 6)

Service Functions of CESAs

Cooperative Educational Service Agencies are evolving, changing, emerging institutions, reflecting the expectations of the local school district administrators within the agency, as well

TABLE 10.3 SHARED PERSONNEL PROVIDED BY CESAs, 1969-1974

Personnel	*1969-70*	*1970-71*	*1971-72*	*1972-73*	*1973-74*
Administrative	28.65	29.6	43.6	49.2	26.7
Audio-Visual and TV	7.0	1.0	4.0	4.0	3.0
Coordinators & Consultants	26.4	27.6	17.4	4.7	43.5
Data Processing	7.0		4.0		
Handicapped	78.5	71.5	93.2	105.2	123.4
Nurses	4.0	5.0	2.6	2.8	2.8
Guidance Psychol-Psychom	80.0	73.1	71.9	74.4	81.6
Social Work	26.5	20.5	18.2	14.6	16.0
Speech Therapy	114.2	114.8	105.9	108.9	108.1
Teachers	76.9	136.5	34.2	40.6	39.0
Miscellaneous	16.0	5.2			
TOTAL Package Plan	465.15	490.8	395.0	404.4	444.1

TABLE 10.4 SHARED PERSONNEL PROVIDED BY INDIVIDUAL CESAs, 1969-1974

CESA NUMBER	*1969-70*	*1970-71*	*1971-72*	*1972-73*	*ENROLLMENT*	*1973-74*
1	3.15	4	4	7	11	19,383
2	14.5	15.2	9	9.5	10.4	27,176
3	33.4	84.7	30.4	25.4	31.5	23,225
4	33	32.1	19.6	21.5	42.1	26,414
5	9.6	18	16	19.5	20.5	24,813
6	37	22	48	60	63	38,561
7	14.4	22.1	16	19	18.8	53,682
8	38.5	39	36.4	34.1	32.4	59,294
9	33	28.4	28	27.3	24.1	49,848
10	28	19.53	18.4	19.2	20.2	42,278
11	33	34	18	19	16	37,400
12	26.5	29.3	32.5	32.2	33.4	29,323
13	71.2	46.5	37.7	36.5	42.4	35,539
14	9.8	12	14	13	13	29,236
15	15.8	17.9	18	16.5	18.5	71,098
16	15	15.4	10.6	5.7	5.5	83,173
17	20.5	21.08	10.8	3.6	6.6	43,946
18	20	18	13.3	17.3	19.8	83,032
19	8.8	11.7	14.3	18.1	14.9	210,601
TOTALS	465.15	490.8	395	404.4	444.1	987,022

TABLE 10.5 ENROLLMENT SIZE AND RECOMMENDED STAFFING RATIOS

Personnel	*Staffing Ratio*
Specialist, Educable MR	1 per 600 student enrollment
Specialist, Trainable MR	1 per 2,500 student enrollment
Psychologist	1 per 2,500 student enrollment
Speech Therapist	1 per 3,000 student nerollment
School Nurse	1 per 2,000 student enrollment
Dental Hygienist	1 per 2,000 student enrollment
School Social Worker	1 per 3,000 student enrollment
Guidance Counselor	1 per 600 elementary enrollment

as the expectations of the representative board of control. The educational philosophy, personality and leadership ability possessed by the CESA Coordinator have a great effect on which types of programs and services are carried on by the agency. For these reasons, and others, there are great variations in the services and programs provided by or through the different CESAs in Wisconsin. Also, there is great variation in the way each CESA relates to the local districts within the agency. A description of desirable CESA services follows, although no claim is made that the categories are mutually exclusive nor exhaustive.

Providing a Communications Framework

The more active, and in that sense the more successful, CESAs have made a conscious effort to establish an effective communications network or plan within the agency. The success of CESAs is dependent upon the degree to which there is involvement in the decision-making process and in program implementation. There must be adequate channels of communication between many groups and individuals. For example, the coordinator must maintain good communications with the total advisory committee of school administrators and the sub-advisory committee, if there is one, as well as with the representative board of control. The board of control should maintain the same close communications with the other local school board members that they represent.

TABLE 10.6

SOURCE OF FUNDS OF
COOPERATIVE EDUCATION SERVICE AGENCIES

1973 - 1974

CESA NO.	EDUCATIONAL SERVICES				COOP PURCHASES	EDUCATIONAL PACKAGE PLAN				GRAND TOTAL
	Schools	State	Federal	Total	Total	Schools	State	Federal	Total	
1	$ 87,959	$ 80,499	$ 9,756	$ 178,214	$ 153,610	$ 66,629	$111,392	$ —	$ 178,021	$ 509,845
2	67,582	84,285	135,508	287,375	42,615	—	—	—	—	329,990
3	560,523	251,392	18,941	830,856	54,084	—	—	—	—	884,940
4	1,385,159	328,412	71,253	1,784,824	149,514	19,714	—	9,008	28,722	1,963,060
5	435,669	121,087	—	556,756	240,794	185,483	160,424	—	345,907	1,143,457
6	972,600	447,807	24,298	1,444,705	284,117	68,634	—	—	68,634	1,797,456
7	440,807	114,963	305,521	861,291	170,520	—	—	—	—	1,031,811
8	359,216	172,701	12,277	544,194	100,087	—	—	—	—	644,281
9	476,141	109,095	118,299	703,535	—	1,649	—	1,099	2,748	706,283
10	506,588	156,815	—	663,403	361,743	17,477	—	—	17,477	1,042,623
11	126,656	287,731	80,000	494,387	192,315	438,228	2,850	—	441,078	1,127,780
12	894,697	283,002	202,810	1,380,509	286,533	—	—	—	—	1,667,042
13	739,396	337,185	6,925	1,083,506	156,363	—	—	—	—	1,239,869
14	524,221	116,483	40,743	681,447	108,733	31,534	40,984	—	72,518	862,698
15	211,031	132,357	201,804	545,192	608,174	4,695	—	—	4,695	1,158,061
16	169,943	11,392	—	181,335	141,085	—	—	—	—	322,420
17	64,488	61,774	15,670	141,932	221,991	—	—	—	—	363,923
18	125,047	73,929	163,210	362,186	—	—	—	—	—	362,186
19	421,603	44,263	41,354	507,220	289,453	—	—	—	—	796,673
Total	$8,569,326	$3,215,172	$1,448,369	$13,232,867	$3,561,731	$834,043	$315,650	$10,107	$1,159,800	$17,954,898
Title III Regionals										$ 477,689
TOTAL										$18,432,087

SOURCE: Wisconsin Department of Public Instruction:
Division for School Board and Administrator Services
Bureau for Administrative Services

High school principals and elementary principals and supervisors, on whom the actual success of programs often depends, should be involved in planning and decision making activities. Teachers in areas wherein there is cooperative involvement through CESA, need to relate to all the groups mentioned. There is also the interaction necessary with vocational/technical schools and university personnel for all the myriad of programs where cooperation through CESAs is involved. The CESA coordinator, the board of control and the administrative advisory committee should periodically review the plans for communications that exist.

Communication links between CESAs and their districts must be constantly updated if the agencies are to serve district needs. Coordinators are active in many area educational groups to exchange ideas and tell of CESA activities. But after ten years, we still have many educators who have little or no knowledge of the functions of CESAs. Outside the educational profession, very few people know of CESA and it is obvious that we have been doing a poor job of communication. In fact, some CESA employees really do not know all the functions of their agency.

CESA could conduct an annual workshop with their employees to make sure they know the CESA organizational structure. The need for good communications with the districts should be spelled out in an employees' handbook. Agency personnel must also make their presence in a district known through staff meetings in which they explain their agency's program.

Educational Program Planning and Development

The local school district is the basic unit of educational program planning. There are certain aspects of the planning process, however, where intermediate agencies can also play an important role. Every CESA should have a component responsible for some of the aspects of what is broadly termed the educational program planning process.

In a recent publication of the Department of Public Instruction entitled "An Introductory Planning Guide for Local School Districts", the following thought is one of several offered for consideration: "The feasibility of providing planning services and personnel through interdistrict arrangements or through the CESAs should be explored. While every district is unique to some degree, there are also many areas of common need and concern which could be addressed on a cooperative basis with a greater economy of scale. Federal and state legislation often imposes similar requirements on local districts (Chapter 89-Handicapped Education, and Chapter 90-School District Standards are recent examples) which should not have to be dealt with in isolation by over 430 local districts."

This idea substantiates a recommendation of a West Central Wisconsin administrator's study committee: there are components of the "planning" process that can best be provided for at the intermediate district level or by cooperative effort between local districts. The planning models are quite well established. The need now is to identify the specific responsibilities and specific activities within those models. This is true not only at the local district level but it is equally as vital at the CESA level. The clarification of the role of CESA in the formal educational planning process will receive added attention in the next few years.

Providing Special (Exceptional) Education Programs

More and more we are witnessing the increasing role played by CESAs in the development, administration, and supervision of programs for students with exceptional educational needs. In all probability this trend will continue. The demand for people with particular expertise in such areas as special education administration makes the intermediate agency the logical place for local district administrators to accomplish such program development. Even larger local districts are seeking ways to provide very specialized programs in cooperation with other districts, in areas of low incidence exceptionalities and in areas where there is advantage to a common multi-district approach.

Recent legislation is having a profound effect on local district programming for children with exceptional educational needs. Increasingly, there is a need for administrative assistance, supervisory services, in-service programs and supportive services in the special education program areas. CESAs will continue to provide one way to meet these needs.

Interestingly, this curricular area is the one area where state categorical funding is, by far, the most significant. Perhaps this is where such funding could be used to give CESAs a more solid financial base and specific programs for which the agency would be accountable.

When CESAs first began their operations, a coordinator was employed in each agency. In most cases following the coordinator, the first professional employee added to the CESA staff was either a special education director or supervisor, or an assistant coordinator who served as a federal aids coordinator. Although we will see changing patterns of administering programs for children with exceptional educational needs, CESA-wide programs will flourish.

Supportive Services

Closely allied to the area of special education programming is a host of student services. This includes such supportive service staff as school psychologists, speech therapists, psychometrists, school social workers and others. Many of these too are supported, in part, by categorical state funding. Here also, the administrators of local districts are seeing certain advantages to sharing on a multi-district basis. They also see advantages to developing a programming approach that has commonality on a region-wide basis such as offered through CESA.

As the local school district educational planning progresses we will begin to see emerging patterns of responsibilities and we will begin to identify those components that can be most efficiently and effectively organized at the intermediate administrative level. Some of the supportive services listed above will be among them.

In-Service Programming

Educational television, language laboratories, instructional materials centers, learning centers, and curriculum changes in mathematics, and virtually all of the sciences, non-graded classes, team teaching, modular scheduling, Individually Prescribed Instruction (IPI), Individually Guided Instruction (IGE), and other forms of individualized instruction and open education are some of the changes that have occurred recently in education. Because of the individualized kinds of efforts, education needs also more of a "less than fully certificated teacher" today. So the paraprofessionals, the aides, and the parent leaders must also be products of in-service programs. One of the greatest needs in education today, therefore, is in in-service training. In view of these local problems and deficiencies, CESAs can and should be involved in the planning, implementation and evaluation of local district in-service programs.

The primary responsibility for in-service programming lies with the local school district. Cooperative efforts between school districts, however, can often strengthen in-service programs for the professional staff. In-service programming has been a difficult task in many local districts in past years. Maintaining continuity of effort and high quality programs was very often a task that fell solely on the shoulders of the local school district administrator or was relegated by him/her to someone else on the staff who may not have had a particular interest in in-service programming. As a result quite often the in-service programs were hastily planned and insufficient in quality. Some administrators were more adept than others at this particular aspect of administration, but as a rule most of them welcomed any assistance they could get in planning and conducting meaningful in-service programs.

Classroom teachers and other professional personnel were also often frustrated by in-service requirements and by the programs themselves. Usually they had little opportunity to be involved in planning the activities. While practically all teachers, administrators and other professional personnel subscribed to the need for well-planned self-renewal or personal improvement programs, the methods for accomplishing them have, generally speaking, been less than satisfactory.

The development and implementation of long range in-service plans is one of the 13 standards developed for local districts in Wisconsin. A part of that responsibility is cooperative in nature at least for most Wisconsin districts. It is reasonable to assume then, in view of this new state-mandated thrust, that we shall see CESAs playing an increasingly important role in developing and providing in-service activities at the local level.

Cooperative Federally Funded Projects

There is something about regional or intermediate administrative agencies, such as CESAs, that makes them particularly attractive and adaptable to cooperative federally funded projects. CESAs seemed to exhibit much success in projects such as ESEA Title I cooperatives; special education support projects; ESEA Title III exemplary and innovative programs; Vocational Education cluster development supported in part by monies provided under the Vocational Education Act of 1963, later amended; and a host of other federally supported areas. In many of the more active CESAs, it is the impact of federal aid which has enabled the agency to maintain those high levels of involvement and activity.

The level of federal support for K-12 public education seems destined to rise slowly. Because of the many federal categorical programs it is extremely difficult for each local district to have the time and personnel to develop the necessary plans, to implement all the support projects, and to evaluate and carry out all the other details required in utilizing federal dollars in support of the educational programs of the district. In many cases the next best available answer is to work cooperatively through CESAs.

Suppose the way in which federal support monies come back to local districts were to change. If, as opposed to the myriad of categorical programs, some form of grant consolidation or revenue sharing were realized, would this change the role of the intermediate agency? Any new state plans which would be developed would undoubtedly take into consideration the advantages which have been demonstrated in cooperative efforts, to meet certain program objectives. There might be fewer categories of activities, but the role of CESAs would not diminish in this regard. On the contrary, the next decade may see CESAs more extensively involved in cooperative programs resulting from federal support.

Liaison Activities With Institutions of Higher Education

At the time CESAs were being planned, and the legislation which would establish these new intermediate agencies was being written, there was some thought and some attention given to the idea that the boundaries of the new agencies should be coterminous with boundaries of vocational technical districts. Also, the notion that there might be areas of the state where state colleges or universities might also be included in a regional plan which would lend itself, not only to K-12 educational planning, but to a lifelong long-range educational planning. The formation of CESAs preceded the legislation which placed all territory in the State of Wisconsin in vocational technical districts. This, coupled with many other complicating factors, precluded the boundaries being the same. Nevertheless, great efforts were made to set the boundaries of CESAs such that each agency would include these post-secondary institutions to which they could relate. It is obvious from the outset that there was a liaison function envisioned between elementary-secondary districts and post high school institutions, which the CESAs would be in a unique position to accomplish.

Much has already been accomplished in terms of CESAs contributions to the articulation process that must occur between local K-12 districts and post secondary schools. Representatives from vocational technical schools and universities meet with CESA advisory committees on a regular basis in some CESAs. Numerous cooperative projects have been developed in such areas as competency based curriculum development, programs for the gifted and the handicapped, career education and others too numerous to list here. In-service programming has been another area where CESAs have facilitated the cooperative efforts between the local districts and the institutions of higher education.

Nevertheless, so much remains to be accomplished in this regard and CESAs are so uniquely positioned to promote these liaison efforts, that we shall see much more development.

Business Management Aspects of School Administration

Quantity purchasing, bid buying, computerized accounting procedures, transportation, security bargaining, and record-keeping are areas of the business management of local school districts in which we might well expect to see an increase in CESA involvement in the future.

Cooperative purchasing has been very well received in CESA agencies. As the districts have gained confidence in the CESA administration of bids, the volume of items bid has constantly increased. CESAs have added the quality control factor in their bidding procedures, making it very difficult for a district not to bid with CESA. Board members of local districts are very much aware of the prices obtained through CESA and strongly recommend district participation in agency bids. Local districts can and have recognized considerable savings by cooperating through CESAs for certain purchases. If such savings could be demonstrated as being adequate to support a CESA business-manager type of position, the results could indeed be far reaching.

Future requirements in the state for computerized accounting procedures could mean a new role for CESA in providing staff members with computer expertise to assist districts in the new accounting procedure. CESAs could play a major service role in this area if districts request the postion. Office Safety Health Administration (OSHA) requirements, along with an increased need for constant inservice of maintenance personnel in meeting state building and fire codes, could create a position in CESA for a shared personnel with this type of expertise. This position could pay for itself in reduced fire insurance premium costs to districts.

A staff law enforcement resource person who could advise on building security procedures, bus safety, bicycle safety, and serve as a liaison with law enforcement agencies for school districts could also be a valuable position in CESA.

CESA agencies serving as multi-district bargaining agents for school districts has been suggested by some members of the educational community in a period of increasing labor negotiation activities in education. Uniserv units have been organized in Wisconsin for regional bargaining of the Wisconsin Education Association.

Chapter 89 perhaps sums up the need for shared management practices. It mandates an expansion of services with a commensurate increase in the need for record keeping, special facilities and a host of new specialists. Examining the requirements of the law, one becomes quite aware that small and medium sized districts will have a difficult if not impossible task in meeting the requirements of the law without entering into cooperative arrangements.

Educational Media Centers

The past decade has demonstrated a tremendous increase in the availability and use of all kinds of media and equipment in support of educational programs. Every local district has developed materials centers and added equipment to an extent that would not have been deemed possible in the 1950's. CESAs too have been involved in creating educational resource centers and supporting local district efforts. There are certain aspects of this technological revolution which must be programmed on a regional basis and CESAs will be expected to provide that basis. The potential of educational television has just begun to be explored. Instructional materials and resource centers are beginning to fill. Data processing and computer assisted instruction and management systems are also taking shape on a regional basis. Film libraries along with support systems necessary to properly utilize films, such as delivery and repair services, will flourish at the regional level.

Educational television has been an area of very rapid expansion in CESA services during the past three years. CESAs, with the ECB towers located in them within the viewing area, have been designated the administrative agents for the State Educational Communication Board. Program evaluation, distribution of program materials, and local advisory councils have been a CESA responsibility. CESAs have accepted this role of serving agency districts and children.

Communication lines between the educational communication board and CESA local educational TV advisory boards must be defined if this relationship is to continue. Program recommendations and evaluations given at the local level deserve a reaction by the educational communication board.

State financial support is needed for the CESA under the tower administration of the ECB programs. Presently, all pro-rated charges for materials and expenses are assessed through the CESA. Constant increased costs are looked over as a CESA service charge when the agencies really have no control over these cost factors at all. A better communication system could be worked out between ECB, DPI, and CESA for continued program growth in the future.

Educational television as a means to conduct in-service for teachers or a communication link between CESA and its districts is just developing. This area is one that should be explored more for its unlimited potential in linking multi CESA in-service efforts. An ever expanding function for CESAs will be the establishment of central agency instructional material centers and instructional resource centers to house high-risk expensive materials, printed and non-printed materials, and demonstrative curriculum materials, both software and hardware in all academic and non-academic areas. These materials must be readily available to districts through a catalogue listing and delivery service cooperatively shared by participating districts. Numerous pieces of hardware that are used once or twice a year in district programs could be housed in the CESA instructional material centers. The cost of low-use expensive equipment would be shared on a cooperative basis, therefore, lowering the cost of training students.

Central CESA instructional material centers would also offer audio and visual tape duplicating services, print duplicating services, printing services, repair technicians, book processing, and audio visual processing services, to only mention some of the major areas CESAs are now servicing because of district requests. Each district will continue to have its own local IMC system but will rely on CESA for supportive service to their local effort.

A component of the IMC center could be involvement in the linkage with computer CAI or CMI systems. Some CESAs presently serve as regional centers for computer program development, while other CESAs are consumers of their services. CESAs should cooperate with existing CESA computer programs and this increased use would lower the per unit cost. More CESA investment in the computer field to develop program services which already exist in the CESA organization or the department of public instruction would be a waste of resources. The need now is for the state to help establish better utilization and support for existing CESA computer centers.

Student Activities

The next decade will see more CESA involvement in providing for student activities on a K-12 basis. This will include programs for the gifted and creative and will also include activities in curricular areas such as art, music, drama, spelling and others where cooperative activities are both enjoyable and constructive. CESAs which have established a good communications network between board members, administrators, elementary and secondary principles and teachers will find pressure and support for these kinds of activities.

Students, parents, minority groups, and many educational leaders are also pressuring for full-blown alternative programs suggesting that they are a logical extension of the concept of individualized instruction. As the "alternative school" concept is expanded within large districts, better to meet the needs of individual students in the area of "gifted and talented," more districts will be faced with this kind of program demand. Small and medium sized districts will request CESAs to establish and administer "alternative schools" on a shared contractual basis, perhaps with entire building or store front facilities to meet this shared contract demand.

Some districts have established alternative programs within existing schools, while others have created separate alternative schools. It would seem that another logical consideration would be the creation of alternatives among school districts, mutually planned and coordinated by a cooperative agency. The efforts of each district would be multiplied by the addition of each participating district, and the number of alternatives from which students could choose would far exceed the individual undertaking of one district.

Local districts will look to the CESAs to provide a structure by which districts will plan in accordance with their mutual needs. For example, one district may concentrate on the development of vocational facilities to accommodate students from neighboring districts as well as its own students, thus avoiding a duplication of effort. A neighboring district might develop a well-staffed and comprehensively planned drama department, again to accommodate students from neighboring districts on a reciprocal basis.

Comprehensiveness, as Conant (1967) viewed it, may well have to be viewed on a cooperative, regional basis in the future as an alternative to attempting to be "over comprehensive". Participating schools may have to be scheduled in a different manner, but the scheduling technology exists and even the "year-round" school calendar is available in tested form at the present time. It may be a small price to pay for local autonomy and the preservation of community identity. And perhaps equally important, the extension of sharing is the most viable alternative to continued consolidation.

Consumers may also look to cooperatives for the creation of separate alternative schools. This is a present reality in Wisconsin, Minnesota, Illinois, and perhaps many other states having regional secondary vocational schools, jointly planned, financed, and operated through a cooperative structure. However, there is no need to limit such schools to vocational pursuits. They could also serve the gifted and talented or those interested in studying the performing arts.

Alternative program activities in the future are only limited by the imaginative requests for these services from cooperating CESA districts from local districts. CESAs future as perceived from the local viewpoint will be examined in the next section.

CESA: The Local District Viewpoint

If CESAs enjoy a stable and mutually supportive relationship with state and federal governments, they will obviously possess a "dowry" worthy of attracting even the most unwilling of LEAs (Local Education Agency) to a "marriage" of educational services. The LEA planner will need to validate the existence of such an attractive "dowry" because the CESAs are an "offspring" of government, and the "marriage contract" between the LEAs and CESAs must carry the blessings of the government parent, as well as its legal consent. Once this is done, it is the responsibility of the LEA and the CESA to build a stable and lasting relationship.

The Role of the Federal Government

The federal government has been quite instrumental in developing cooperative and regional educational service centers. This has taken place not only through direct funding for centers, but more indirectly through its practice of giving high approval priority to program and project proposals involving more than one school district, and especially to consortia of smaller school districts.

This was the basic concept leading to the provision for Title III as part of the Elementary and Secondary Education Act (ESEA) passed in 1965. More than half of the first 217 Title III proposals approved by the U.S. Office of Education (USOE) concerned multi-district projects, often provided through a supplementary or regional center. (Kluempke, 1974: p. 7)

Hack (1971: p. 75) after analyzing the works of Shubik, Lang, Haskew, Hensen, Brickwell, Goldhammer, Moynihan and other futurists, concluded that the locus of government will continue to shift toward the federal level by 1985. If that observation is coupled with the fact that various educational coalitions are pressing for a minimum of thirty percent federal funding for education, one conclusion is that the federal government will have an even greater influence and impact on public education in the future.

The federal government spawned the concept of regional educational cooperatives on a national basis. There continues to be ample evidence that educational cooperatives will continue to exist and flourish as a manifestation of national policy and an important element of the total process of social and educational engineering supporting that policy.

The Role of the State

At this writing, the LEA has nothing as definitive as Hack's study to guide it in attempting to determine to what extent future decisions at the state level might effect the stability of CESAs. However, if the relationship between the state and the CESAs remained relatively unchanged, and if greater financial assistance were forthcoming, a satisfactory climate for future planning could exist.

The gravest area of concern appears to be whether or not any regulatory functions will be assigned to CESAs by future acts of the legislature. Any such assignment would likely significantly alter and limit the degree to which a CESA would be incorporated into a LEAs plan for future voluntary services.

Stephens (1974: p. 65), in his summary of research relating to regional educational cooperatives concluded that -

> There appears to be a substantial consensus in the literature on RESAs (Regional Educational Service Agencies) and on special district governments concerning the following aspects that are important to the topic of this paper - - - service units should not engage in the enforcement of rules and regulations of the SEA (State Educational Agency).

His views were further substantiated at the summarizing session of the second national conference of the National Federation for the Improvement of Rural Education (Proceedings 1974: p. 133) held in January of 1974. It was the consensus of the participants that the assignment of regulatory functions to CESAs would severely hamper their chances for developing effective, cooperative working arrangements with LEAs.

With this knowledge and recorded experience, it would appear that LEAs need not be concerned that a drastic change in role and function will be assigned by the state to the CESAs. There is sufficient evidence of stability in the state's role to permit the LEA planner to assume that the CESA will continue to receive positive state support.

The Role of the CESA

If the previous presentation of observations have an acceptable level of validity, one might conclude that the CESAs will continue to enjoy federal and state support. This support should insure their stability and preserve them as a viable educational resource which will be available to LEAs for the foreseeable future. These two "uncontrollable variables" should have an equally positive and reassuring affect on the LEAs.

The only remaining variable is the CESA itself. With the exception of the enabling legislation, CESAs in Wisconsin defy any single description as they are vastly different in both the quantity and quality of services provided. Some enjoy a high level of support and utilization, while others may be relatively dormant. Some CESAs and their cooperating LEAs share a mutual awareness of their potential to provide and deliver quality educational services to the students they serve. Others may lack a sufficient awareness.

Consequently, although the LEA may assume continued federal and state support for its CESA, it must also be aware of the potential of the CESA to deliver the desired educational services if it is to write the CESA in for "a piece of the action." Awareness is prerequisite to a LEAs utilization of CESA and to its inclusion in a comprehensive, proactive educational plan.

Perhaps nothing is more important to the development of a CESA's potential than the coordinator and the permanent staff, yet, what do we know of the discrete qualifications required of such key personnel? The assumption has been made, and perhaps accurately, that the coordinator should be a qualified educational administrator. However, one might ask what unique skills are practiced by, or required of, the coordinator which are not indigeneous to the special training and experience received in general school administration.

No graduate courses or even university level special workshops, much less a formal course of study leading to certification, exist for those who manage regional educational service centers. In response to this recognized lack of specialized, professional training for those serving in key roles in educational cooperatives, the National Association for the Improvement of Rural Education recently commissioned a special task force to determine the feasibility of developing special training programs for coordinators and other full-time personnel serving regional educational service centers.

Perhaps it is not realistic to presume a "quality control" dimension in the preparation and selection of CESA coordinators. However, the "quality" of any given CESA is probably more influenced by the "quality" of the coordinator than it is by any other identifiable element.

Sound management over a prolonged period of time, energetic and creative leadership, good public relations, sensitive human relations and professional competency rank equally in importance to the previously cited federal and SEA factors which lend stability to a CESA. Consequently, if one were to rank order those elements on which a LEA judges a CESA, the general competency of the coordinator and the permanent staff would undoubtedly be placed at the top of the list.

Other Factors Affecting Stability

The present model for the financing of CESAs can perhaps best be described as highly accountable and minimally supportive. Each CESA is allocated $36,300 annually by the state for general operating expenses and this is the extent of direct SEA financial aid. Other operational funds are derived from federal program management and from other services sold to LEAs. Some CESAs augment their operational or general administrative funds by assessing their LEAs a fixed fee. However, such arrangements can only be established with the consent of the participating LEAs.

Currently, a bill is under consideration by the Legislature to increase direct state aid to the CESAs from the present $36,300 to $50,000 and $52,000 respectively for the next biennium. Consideration has also been given to the drafting of legislation which would give the CESAs a taxing power of their own, the model presently being used to finance regional technical and vocational schools in Wisconsin. However, a discussion of the relative merits of various financing models would appear to be premature until the need or purpose for additional and expanded financial support is first established.

There is no collective or shared perception by LEAs or the CESAs themselves as to what their "manifest destiny" truly is. The SEA is perhaps more uniform in its perception because it doesn't encounter the diffusion of conceptualization when it is spread among CESA Boards of Control, coordinators, and LEA Boards and their administrators. The SEA, although more definitive in its policies and planning relating to CESAs, encounters the diffusion process as a second step when it attempts to translate its policies and concepts into viable action at the CESA and LEA level.

Therefore, "financing for what purpose?", becomes a basic, but secondary question, "What is the role of the CESA?", remains the primary issue. Is the CESA a proactive institution or a reactive institution? Do LEAs want them to lead or to follow? Do LEAs want the coordinators to be initiators? Do LEA or CESA coordinators speak with one voice in responding to these questions?

It is apparent that the source of assignment of roles to a CESA, does not lie within the CESA structure or its various LEAs, as neither can be single minded in purpose. There are too many individual and diverse interests involved in the process. It would appear, after due study and consideration, that the SEA will have to define and assign a more specific role to the CESAs, after which a financial model should be designed to implement and adequately support the assigned role.

LEAs are too busy with their own problems and processes to take a serious and concerted approach to determining the CESAs role in the total scheme of a delivery system for public education. Lay CESA Boards of Control also have a limited perspective and are more oriented toward their LEA interest than to statewide considerations of an educational delivery system. If one elects to consider geographical differences, urban-rural dichotomies, various political philosophies, access to taxable wealth, and a host of other variables which could be listed, it becomes apparent that role definition could hardly be approached collectively by LEAs and CESAs.

In a day when "equal educational opportunity" is the standard for legislation and is also being upheld as a basis for court decisions, a model which allows each CESA and its LEA to formally or informally assign a CESA role, would seem to insure inequities of opportunity. Wisconsin has such inequities at the present time. Some CESAs have added significantly to the quality and extent of the educational opportunities offered to their youth, while others have not done as much.

One must question the original intent of the legislature when it first established the CESAs. Did the assignment of equal, state-level financing of each CESA imply a desire that they be equally active in elevating the services provided the children within their boundaries? It can also be asked that if, in fact, this was their intent, are the CESAs so much alike that providing each of them the same level of financial support should result in the realization of that intent.

The financing of CESAs must be preceded by a more specific role definition. It would appear that the SEA is the best level from which to view the entire educational delivery system and make more specific role assignments. The hindsight of experience is now possible and the role can be more easily defended when subjected to analysis and constructive criticism. A more clearly defined role, and the assurance of adequate financial support for that role, should permit the LEA to view the CESA as a more stable and reliable resource for the educational planner.

In summary, assuming that the LEA is satisfied that the CESA is a stable and viable educational resource, and that the LEA has confidence in the CESA, one may then consider it as a reliable and stable resource. In order to build an organization in which the local district is to develop this satisfaction and confidence, several dichotomous approaches to construction of CESA delivery systems will be examined in the next section.

CESA: Toward a Better Definition

When an intermediate unit of educational administration, such as the CESA, is formally and legally established there still remains an ongoing task of defining the role which that unit will serve within the total framework of school administration and educational programming. That role is constantly changing, evolving or emerging in nature. It has been wisely observed that the intermediate unit of educational administration must, above all else, possess the ability to change and to adapt as time and circumstances dictate, if it is to survive and to play a viable role in educational programming. It may be useful to examine such dichotomous approaches as service vs. administrative orientation, formal vs. informal administration, and regulatory vs. non-regulatory roles in demonstrating the viable nature of these abilities.

Service Orientation vs Administrative Orientation

Perhaps the most pertinent question that can be asked concerning the role of the intermediate agency is: To what degree is the agency service oriented as compared to being administratively oriented? If we look at the role of intermediate agencies on the basis of a continuum such as illustrated in Figure 10.2, with service responsibilities on one extreme and administrative or regulatory responsibilities on the other, we can start to examine more precisely what the role of the agency is. In the case of CESAs we would have to locate the role position to the extreme left on the continuum, indicating the responsibilities of the agency as being extremely service oriented. The intermediate unit of educational administration in Wisconsin is very much service oriented in comparison to some other states and in comparison to the previous county superintendency.

Figure 10.2
Continuum of Intermediate
Agency Responsibilities

Service Responsibilities — **Administrative Responsibilities**
X————————————————Y

This orientation was achieved by conscious design, that is by legislative mandate. Drawing upon the experiences of the past, especially that of the county superintendencies in their last twenty years of existence, and looking ahead to future educational programming needs, the legislature, in 1965, defined such a service role for Wisconsin's intermediate units. Now after approximately ten years it is possible and appropriate to study that role and to describe the function performed by CESAs. In light of this experience, and looking ahead to the next ten years, it appears possible that the CESAs could be moved slightly to the right on that continuum, strengthening them somewhat administratively, and that this could be done without destroying local district autonomy or strength. If this were to be done it would not only strengthen certain selected areas of educational programming but would also give CESAs some badly needed stability and strength.

For example, consider the area of exceptional educational programs along with some of the supportive services closely allied to exceptional education. If CESAs were to be primarily responsible for, and accountable for, the administration of certain selected aspects of exceptional educational programs it would give them a stronger financial base and operational base than they now have. Special education is suggested as an example although it may not necessarily be the same throughout the state. The point is that if some area of educational programming were to be administered by the CESAs it would give them a stronger position from which to develop. One of the weaknesses of the CESAs has been the lack of any solid base for any aspect of programming. One assistant state superintendent made the point that perhaps special education could be the area wherein a cadre of trained personnel could be provided within each CESA; a cadre which would be supported by a healthy combination of state and local funding with federal funds being used to support special programs. It sounded like a good idea although the CESAs vary greatly and in some areas of the state it might be some other curricular area that would provide this sort of central core of CESA programming. There is a need, however, for a more stable base or core of activities, more of a financial base, an increased operational base or, as this section suggests, a movement to the right along the service-administration continuum.

There are several reasons why this is needed. First, CESAs are dependent to a great extent upon the desires and dictates of the advisory committee, made up of the chief administrator from each local district within the CESA. The whim of one local school district administrator, who may not even be reflecting the desires of his local community and school board, can stop a cooperative program development which all the others might agree would be good for the students in that CESA. On most programs this would not be an obstacle if CESAs had a more solid core of programs from which to build. If CESAs did have a common core or base from which to develop, the actual makeup of that base might vary from one CESA to another and the components of that base could be determined by a majority decision of the advisory committee and the board of control. This would encourage cooperative development in other areas. If one thing is going that's solid and continuing, it's easier to expand.

Also such an assignment would demand of CESAs a greater degree of accountability than is currently the case. For that one curricular area or service area, those core or base activities, CESA would be directly accountable. Did the agency accomplish the task with more efficiency and effectiveness than it could have been done by each local district acting on its own? Was there spin-off from the activity allowing supportive activities to develop? These are the types of questions one could ask about the agency, if there were programs of this type.

This is not to suggest that the CESA should became any more of a regulatory agency than is presently the case. CESAs should remain responsive to the local districts and their needs and desires. SESAs should retain the "service" posture as their name implies. But in their brief history they have demonstrated that there are selected areas in which they can do the job better and more efficiently than single districts. Perhaps it is time to single out one or more of those areas and provide CESAs with the stable financial and operational base to administer it. It may, however, be time to move CESAs a bit to the right on the service-administration continuum.

Formal Administration vs Informal Administration

When considering the intermediate unit of educational administration the following questions might well be asked: Why have intermediate units of school administration? Why not simply operate as a two-echelon state system with a strong state department of education and strong local district? Why have an in-between unit at all?

The answer appears to be that intermediate units of school administration develop because of an identified need to accomplish some aspects of educational administration and educational programming on a cooperative basis. Who identifies that need? It may be identified at the state level by the state department of education or by members of the state legislature. They are often in a position to recognize regulatory or programmatic needs which can best be met through some intermediate cooperative type of administrative arrangement. So they proceed, either by estabishing laws or by administrative arrangement, to develop the type of administrative unit which will meet that identified need.

It is also possible that the need may be identified at the local district level where school administrators may recognize the necessity to cooperate in certain areas of operation, to accomplish the kind of educational program desired and to do this as expeditiously as possible. Local districts then proceed to develop this kind of cooperative arrangement and meet a particular need, either on an informal basis or within a formal structure sanctioned by state law.

Therefore, the thrust for any type of a cooperative program or intermediate unit of administration might come from the grass roots level or it might originate at a level where statewide educational planning occurs. It may be viewed on one hand as one aspect of governmental administration for which an agency must exist just as it would for other governmental functions such as welfare, highways, etc., or it might develop as a very informal cooperative coalition designed to accomplish some desired end. More realistically, intermediate units of educational administration are established because the need for such an arrangement is recognized by educational leaders both at the local and state levels, and the state department of education and the state legislature proceed cooperatively to establish such a structure.

Such cooperative efforts in education are not new. Local school districts have cooperated on certain types of programs and activities and for certain purposes for a long period of time, e.g., music and forensic conferences, joint in-service meetings, curriculum study groups, professional organizations and conferences on a cooperative basis. Districts have also joined together to offer cooperative programs in such curricular areas as special education and vocational education. All of these relationships were common long before the establishment of Cooperative Educational Service Agencies (CESAs). It is obvious that educators have been a very cooperative minded people. Americans have been, as one writer put it, the "cooperatingest" people on the face of the globe, not only in educational matters but in other areas of human endeavor, agriculture being an example.

The question therefore is not, "Will we cooperate?", but rather, "do we want or should we have a formalized administrative framework designed to facilitate these cooperative ventures?" This question was examined extremely thoroughly prior to 1965 and was answered in the affirmative resulting in the establishment of the CESAs in Wisconsin. The question has been re-examined since, and the original answer has been reaffirmed.

Cooperative efforts between school districts will occur, as they have in the past, with or without formal intermediate units such as the CESAs. Many of the cooperative efforts of the past were very informal in nature, and many of these efforts continue, as they should, outside of the organizational framework provided by CESAs. There are, however, enough of these cooperative efforts between local school districts to justify the presence of a formal intermediate unit of educational administration, such as CESA, to encourage and facilitate cooperation.

The most frequently mentioned alternative to a formal structure of intermediate units is to have a two-echelon state for purposes of educational administration in which a state department of education and local school districts exist with no formal intermediate agency. The only cooperative programs would then be those developed voluntarily within that administrative framework. There would be a general lack of opportunity to develop cooperative programs as well as a lack of continuity in cooperative programming under such a two-echelon system or structure. The case for, and the evidence supporting, a formal but flexible intermediate educational administrative agency is strong enough in Wisconsin to warrant its continuance based on the experience of the past 10 years.

One word of caution should be mentioned here. In describing the formal intermediate unit the word "administrative" has been used, where perhaps others would feel more comfortable with the term "service". If, however, school administration is viewed in its broadest sense, the services provided through an intermediate agency fall within the realm of educational administration. There should be no uneasiness with the terminology used. In Wisconsin the official name of the intermediate unit of educational administration is the Cooperative Educational Service Agency. Had it been called an administrative agency it probably would never have been established. The point, however, is that it is a formal legislatively established agency and that it provides great opportunity for developing cooperative efforts within the broad total realm of school administration.

Regulatory Function vs. Non-Regulatory Function

At the present time, LEAs, for the most part, view CESAs as having the potential to assist them in reducing operating costs, avoiding extensive consolidation, providing educational alternatives, stabilizing local control, avoiding the negative aspects of declining enrollments, and providing a viable means by which they can respond effectively to new legislation mandating increased and expanding educational services. It should be noted, however, that although the potential is recognizable, we are not implying that the LEAs are at a level of readiness to adequately utilize that potential, nor are the CESAs uniformly promoting and encouraging in increased utilization of their potential.

From a LEA viewpoint, it may be safe to observe that CESAs are regarded as presently existing in a rather ideal state. They are capable of offering a significantly large catalog of services, while they continue to be the ultimate example of accountability. LEAs can presently elect to utilize all or none of the services. Flexibility, responsiveness, timeliness, and all other identifiable characteristics prerequisite to the formulation of symbiotic relationships exist within the present structure. To allow such relationships to grow and mature would obviously be an idealistic model for LEA-CESA relationships.

However, idealism seldom serves as a permanent state of being. A realist should note the following challenges to the symbiotic state:

a. Unionism — While CESAs presently represent the ultimate in accountability, a "take it or leave it" relationship so to speak, the relationship does little to inspire security and confidence among CESA employees. The loss of federal funding, the necessary reduction of LEA services, or simply, ill-will generated by the actions of an Agency School Committee, can all be detrimental to the well being of CESA employees. Insecure employees are "ripe for the picking" by union organizers. If CESA employers organize and negotiate master contracts designed to promote longevity and security, the ability of the CESAs to retain their spontaneity, flexibility and accountability will obviously be limited.

   If one wishes to pursue a cause and effect syllogism, then it could be concluded that LEA utilization of CESAs will decrease, causing an even greater level of insecurity with a fatalistic progression.

b. Self-Preservation — It is observable in the natural order of things, that the demise of symbiotic relationship can lead to the establishment of parasitic relationships. In this instance, it would appear that CESA employees, perceiving a threat to their security and well being, could view, in a favorable manner, that condition which might tend to insure the continued need for their services. The assignment of a regulatory function to CESAs could result in such an assurance of continued existence.

   With organized labor intensively promoting educational legislation, it is not unrealistic to assume that both the effects of their legislation and the support of their CESA employee members could promote the transfer of regulatory roles to the CESAs.

c. The Role of the Department of Public Instruction — If Chapter 89 and Chapter 90 are truly harbingers of things to come, one might assume that the role of the DPI will become increasingly that of a regulatory agency existing for the purpose of dispersing Federal funds and implementing and monitoring programs mandated by the legislature in response to advocacy groups and special interest groups. Even now there is evidence that the DPI is operating out of a geographical location which is dysfunctional to the needs of local districts. Often is heard the appeal for a better system to deliver the services of the DPI to the "field".

   If the locus of government does continue to shift to the federal level, there will obviously be more to service and monitor. If the legislature continues to mandate uniform standards and programming, the need for regulatory "machinery" will increase proportionately.

   It is difficult to conclude that the legislature would authorize another tier of regional services when the existing CESA structure is so available. It will indeed be a delicate situation if and when such a decision must be made.

d. The Role of the LEAs — Regardless of what may be said about the virtues of real or imagined local control, no one can deny the fact that local districts are "creatures of the State". It is the opinion of the writer that in assuming a futuristic posture, LEAs would be unrealistic not to include CESAs as both a viable and stable educational resource. LEAs and CESAs will have one of three basic relationships — (1) voluntary partnerships designed to meet local and regional needs, (2) voluntary partnerships prompted by a need to comply with an increased number of federal and state imposed standards and rerequirements. (3) an involuntary, legislatively mandated relationship which will be regulatory in nature.

In order to more clearly determine which of the three relationships will finally exist, the next section makes some direct recommendations.

CESA: Some Recommendations

Recommendations relating to the regional service agency program in Wisconsin include:

1. Multi-district programs must continue to be a fact of life as long as a great number of school districts, because of limited enrollment size, cannot provide many of the highly specialized programs that today's education requires. The CESAs must be insured of a formal base of stability if LEAs are to incorporate their services into long-range plans.
2. The service agency cooperative concept should be maintained so that decisions are made at the local school district level. The agencies should continue to maintain a non-regulatory role. Regulatory functions should not be assigned to CESAs as they

appear to be incongruous with the natural characteristics of flexibility and accountability presently found in the non-regulatory model. A choice must be made between the assignment of "natural" or "unnatural" stability. The latter would appear to offer stability at the price of narrowing and confining the potential of the CESAs, at least in the eyes of the LEAs. The SEA should define more specifically the role of the CESA in the delivery of educational services. The assigned role should have as its basis the provision for equal educational opportunity. The assigned role should elevate the status of the CESAs so that they may better carry out their newly-defined purpose.

3. To maintain the cooperative-services-for-local-districts perception of the role of the CESA, it should not be accorded legal status as a municipality or quasi-municipality with taxing and real property ownership powers. Only with the authorization of the member districts, through their existing taxing and other corporate powers, should money be raised and real property acquired.
4. In keeping with a legislative committee's recommendations, the state funding of each CESA office should be kept apace of needs and inflationary trends. If the level of SEA financial support is increased, CESAs will be more able to:
   a. Elevate their level of services.
   b. Provide increased staff continuity and job security.
   c. More readily react to educational needs arising from new legislation.
   d. Act more effectively as initiators.

   The utilization of financial incentives should be explored to promote further cooperation among districts, especially in instances where such cooperation would result in a demonstrated improvement in cost and efficiency.
5. Stability can be assured by maintaining a positive and steady political base and by increasing the level of SEA financial support to facilitate that assurance.
6. Consideration should be given to a reduction in the number of Cooperative Educational Services Agencies. It is suggested that a committee be activated of at least five and no more than eleven of the original committee of seventeen to meet with the current State Superintendent, study the existing programs and structure of the several CESAs and recommend school district realignments such as to reduce the number of CESAs to a number as recommended by the Committee.
7. Examine the place of the CESA as a center for the education of exceptional children in areas where participation on the part of low enrollment districts on their own is inappropriate.
8. A greater awareness of the potential of CESAs should be created through:
   a. Giving them more emphasis in all undergraduate and graduate level educational programs.
   b. The development of special, competency-based criteria for the certification of coordinators, and the subsequent recognition of coordinators as professionals requiring discrete skills and a common knowledge base.
9. The CESA needs evaluation. The primary purpose for such an evaluation effort would be to assist CESAs in long-range planning. By discovering which categories of services appear to work the best and by learning from other agencies in the state, CESAs would better be able to plan for programs and services that would gain support. When commonalities appeared and the evidence supported the agencies in terms of their being both effective and efficient in certain types of programming, financial support would be more easily obtained.

Summary

In order to achieve an understanding of the present and future role of the Cooperative Education Service Agency in Wisconsin, this chapter first placed the development of that agency in its historical perspective. The programs and services CESAs provide today, as well as those they could provide, were then set forth in some detail. Next, the CESA was viewed from the local district viewpoint. Orientations and functions of CESA were then explored in order to present a set of recommendations for the future direction of CESAs in Wisconsin.

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CHAPTER 11

Federal Aid To Education

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OURS IS A FEDERAL SYSTEM OF GOVERNMENT where nearly every function is shared by almost every level of government. In education, for example, financing and control have become shared responsibilities of local, state, and federal governments. The distribution of authority in education is "bottom heavy"—to borrow an inelegant but perceptive phrase. The predominant influence normally rests with state and local authorities which are viewed as an entity in this paper. This pattern of governance for education is based on traditions and legal concepts which are written into the Constitution. Since education is not identified as a function of the federal government, and our central government is one of delegated powers, education is included in that group of functions which are reserved to the states. The Tenth Amendment provides: "The powers not delegated to the United States by the Constitution, nor prohibited by it to the states, are reserved to the states respectively, or to the people." Section 8 of Article I of the Constitution, however, permits Congress "to lay and collect taxes, duties, imports, and excises, to pay the debts and provide for the common defense and general welfare of the United States. . . " Legal scholars and jurists agree that Congress has the power, but not the obligation, to tax and spend for education under this general welfare clause. The Wisconsin Legislature has fewer options respecting education. Paragraph 3 of Article X of the State Constitution reads: "The legislature shall provide by law for the establishment of district schools, which shall be as nearly uniform as practicable; and such schools shall be free and without charges for tuition to all children between the ages of 4 and 20 years." In sum, the Wisconsin Legislature must provide for schools, while the Congress may do so under its authority to provide for the general welfare. Accordingly, education is a shared function in our federal system of government with the principal responsibility resting with the lower level of government.

The delicate nature of this shared responsibility for education is examined in this paper in which federal funds for education are viewed as an aid to the states and local communities. The central question to be examined is: whose objectives are to be satisfied by such aids, and by what means? In this paper, a research method was designed to integrate case study and comparative analysis methods. The single case is the State of Wisconsin. Observations gleaned from documents, records, and interviews in Wisconsin are described, and comparisons are made with the results of similar studies in other states. Likewise, policy statements by national and regional agencies are cited and analyzed. Finally, the hypotheses which were generated in this process appear as "alternative futures" in the final section of this paper. Before launching on this journey, however, a brief review of the history of federal aid to education is needed to place the topic in proper perspective.

History of Federal Aid to Education

The federal government has been a partner in the support of American education for more years than we have lived with our present Constitution. Legislation providing for the first national aid to education, the Northwest Ordinance of 1785, was passed by the Continental Congress. The act set aside large tracts of federal land in the Northwest Territory for the building of schools or for the support of education. These earliest acts, which, incidentally, affected that portion of the Northwest Territory from which the State of Wisconsin was later carved, were a form of general aid to education, because the income produced from the land tracts could be used to "encourage education."

Hundreds of federal laws have dealt with education in a span of almost two centuries, and the shape and pattern of the federal role has grown and changed (Bailey, 1968, Ch. 1), but four features have remained characteristic of federal education programs: they have been designed to aid or supplement state and local efforts; they have served a particular national purpose as perceived by Congress; federal aid for programs has provided an extremely small share of the total cost of education; and federal programs have demonstrated a capacity to survive long after the original need for their inception has passed. In some instances, Congress has provided virtually all of the support for a particular program and in other cases relatively small amounts of federal money have been used as levers to alter or influence state policy.

With few exceptions, federal interest in education has been manifest through categorical programs of grants-in-aid. This practice was initiated on a rather massive scale with the passing of the Smith-Hughes Vocational Education Act more than fifty years ago. This Act, which came in response to a national need for skilled workers during World War I, has been followed by a series of categorical programs—all in response to national needs as perceived by Congress. For example, during the depression years of the 1930's, Congress entered the school lunch field to feed hungry children and provide an outlet for a farm crop surplus. World War II brought Public Law 874 and Public Law 815, both concerned with impacted aid to school districts called upon to educate the influx of children whose parents were attached to military bases and other federal facilities. Following the launching of Sputnik and other space spectaculars by the Russians in the 1950's, federal assistance grew significantly through the National Defense Education Act, principally to improve science, mathematics, and foreign language instruction. Then, in 1965, Congress passed the Elementary and Secondary Education Act (ESEA). Again, the original purpose of the legislation was to solve a set of national problems which, in the opinion of Congress, had been largely ignored by the states. Equality of educational opportunity for children from low income families, and the improvement of all education through experimentation and innovation were the primary goals of ESEA. Secondary goals, such as the improvement of state education agencies (SEAs) through Title V, were seen as necessary conditions for the realization of the two principal purposes. In general ESEA represented a great leap in federal school financing. With the enactment of ESEA, revenue from federal sources approximately doubled. In the 1964-65 school year, federal funds represented 3.8 per cent of public elementary and secondary school revenue, while in the 1965-66 school year this amount represented 7.9 per cent of total revenue. Since that time federal aid has declined slightly (National Education Association, Research Reports, 1974). Currently, there is a host of bills in Congress to increase vastly the federal role in education, but barring a national emergency, there appears to be little chance for these bills to become law.

Federal Influence on State Educational Policy

Federal aid to education has probably stimulated more controversy than has any other domestic aid program. For more than a century, debates over federal aid have pinched the most sensitive nerves of the American people—the nerves of religion, race, and states rights. Generally, those debates center on questions of educational finance.

It is not necessary to discuss all of these issues in this paper. The central concern here is the extent to which federal dollars have influenced state educational policy. Implicit in this question is the assumption that the states have primacy in matters pertaining to public education. Overt efforts to establish a national school system or directly control even a small portion of public education from Washington are uniformly resisted by most educators and by a substantial number of politicians and citizens.

The first and most forthright response to the general question about federal influence on state education policy is to accept the fact that it exists, and it will continue to exist regardless of the distribution scheme which is written into the law. The power to increase, diminish, or withhold funds from a public agency is potentially effective. (This discussion of federal government influence is limited to those controls associated with federal funding.) While such power may be denied to administrators in USOE, the United States Office of Education, who will exercise such constraints on Congress? Moreover, on sober reflection, who would suggest that Congress should have no voice in determining how federal tax dollars for education are expended, or that such funds be used effectively? The very notion that the federal government should share its revenue with state and local governments on a "no strings attached" basis appears to strike hard at a basic venerable Puritan ethic which decrees that the pleasure of expenditure should never be divorced from the pain of taxation.

An example of how the federal government can use its funding power to force educational institutions to comply with its wishes can be found in federal laws and executive orders concerning race and sex discrimination. Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972, is an example. This federal law prohibits educational institutions, which receive federal money, from discrimination in employment in all institutions with federal contracts or grants of over $10,000. Pre-award reviews are mandatory for contracts over $1,000,000.

A more recent example of federal control exercised through appropriations is found in the Family Educational Rights and Privacy Act which was signed into law by President Ford as part of the 1974 amendments to ESEA. This legislation denies federal funds to any school or college that fails to allow parents to inspect, challenge and refuse public use of their children's school record. In this act, as well as those discussed above, federal influence extends to private schools—a greater reach than is normally available to state legislatures. Many more federal laws and regulations of this type could be cited. So, it seems the only way for a state to retain complete autonomy respecting public education is to reject all federal funds. No state to this date has exercised this option.

Now that the existence of federal influence has been set forth in its basic form, an analysis of the control features which Congress has written into federal laws promises to shed more light on the complex question before us. Also, a realistic view of the political limitations of USOE to enforce federal regulations will provide some comfort to those who fear the "feds."

This paper is replete with reference to Congressional responses to perceived national needs. Generally, such responses find their way into federal statutes which allocate money for rather specific education programs. Categorical grants-in-aid, rather than general aid to education, have dominated the federal education scene for the past fifty years.

The federal influence inherent in categorical grants is apparent. Congress has said that the money must be spent to accomplish its goals—not necessarily those of the receiving state or operating local education agency (LEA). States may be given a greater or lesser degree of latitude in the determination of plans and programs, but generally the central thrust must be in the direction pointed by Congress. Titles II and III of ESEA and the Vocational Education Act are good examples. State plans must be submitted before grants are made. While there is no record of USOE ever rejecting one of these plans, a nominal amount of influence exists. USOE administrators do issue guidelines and provide technical assistance for the writing of state plans. Also, some features of state plans may be negotiated between USOE and state departments of public instruction (DPIs). According to Berke and Kirst (1972, p. 65), who studied the process in six states, this negotiation is generally a matter of fellow educators at different governmental levels agreeing on how the state can pursue its goals within federal guidelines.

Title I, ESEA, is the largest federal aid program and is targeted for disadvantaged youth. Significantly, no state plan is required in order for a state to receive its allocation of Title I funds. The money is instead distributed to LEAs according to a formula set by Congress. The DPIs provide the conduit for the distribution of Title I funds to LEAs, and they are given an allocation of funds to administer the program and to make educational and financial audits of LEAs.

In practice, however, categorical aids have even less influence on LEA spending than might be presumed. School districts, especially large city systems, have multiple sources of revenue, including bonds, property taxes, several categories of state aid, and numerous categories of federal aid. Some school districts are known to have a hundred or more separate sources of incomes and a district which can identify fewer than fifteen is rare. (Milwaukee, for example, had 54 federally funded programs in 1973.) As the total number of revenue sources proliferates, the restrictions imposed by any particular source become less and less enforceable. This multi-pocketed budgeting gives LEA administrators considerable latitude in the use of categorical funds. For example, if a grant is restricted to an area in which the LEA thinks it is doing an adequate job, it will work out a budgeting procedure where the federal dollars are "symbolically allocated," thereby releasing local funds for use in other areas. This multi-pocketed budgeting allows the conversion of categorical aids into general grants for education and thus defeats much of the Congressional purpose. This same phenomenon holds true for DPIs. With several sources of funds flowing into the Wisconsin DPI, who is to say precisely which funds are actually used to satisfy a given state or federal objective?

In addition to the weakness of categorical aids as a means of achieving a congressional purpose, they suffer from a more fundamental malaise. There is no consistent federal policy or purpose served by the many federal programs. As Berke and Kirst have observed, "Each federal category is some Congressman's footnote in history and some OE bureaucrat's base of expertise. Fragmentation is extremely difficult to overcome." (1972, p. 384) A good example of the severe problems inherent in this fragmented approach can be found within the various titles of ESEA. Title I is clearly earmarked for the equalization of educational opportunities for children from low-income families. However, Berke and Kirst (1972, p. 379) have noted that other titles of ESEA tend to favor children of the more prosperous parents. It seems that off-setting national programs cannot be avoided until a consistent policy is established. USOE administrators might respond to this criticism of earmarked funds by pointing out that there is nothing in ESEA or federal guidelines which would prohibit a state from developing a more uniform policy regarding the use of federal money to achieve a state purpose. For instance, Wisconsin could use virtually all of its ESEA funds, and a considerable amount of vocational education money, to improve education for the economically disadvantaged. (Due to the rather stringent control of Title I funds, however, education for the economically disadvantaged is the only single state purpose which could be achieved through the use of federal funds in Wisconsin.)

Research by Berke and Kirst suggests that state plans for each of the titles of ESEA vary tremendously. They concluded: "If federal influence were widespread and highly effective, state and local responses would tend to be uniform. As we have seen, this is not congruent with our findings" (1972, p. 378).

Finally, federal programs have a tendency to suffer from a "hardening of the categories." Administrators in the Wisconsin DPI concede that such is the case in that state. This tendency to protect and maintain a power base makes planning most difficult and explains in part why there is no single policy regarding the use of federal funds in Wisconsin. There are goals and objectives for each program, but most needed of all is a composite statement regarding the use of federal funds.

Given the federal interest in education, one might wonder why USOE seems virtually powerless when it comes to enforcing federal guidelines or regulations. Jerome Murphy explains as follows:

> USOE's behavior has in part been adapted to take advantage of its strategically weak bargaining position. It is virtually impossible for USOE to cut off funds which the states view as their rightful entitlement under law. The states know this ~~and so~~ does USOE; thus orders or demands by USOE are bound to be ineffective since they cannot be backed up by action. Furthermore, demands might alienate the states and result in a loss of communication. Since USOE's influence comes mostly from the power of persuasion, and since it is presently almost totally reliant on the states for information about local programs, it is absolutely essential that USOE maintain cordial relations with the states. Under these bargaining conditions, the states are in a position to exact a price for their good will . . . USOE's problem, then, is not simply the lack of will or lack of staff, but lack of political muscle. (Murphy, 1971, p. 58).

Berke and Kirst (1972, p. 380) add that USOE is in an inferior political position because DPIs existed first. Consequently, they conclude, it has been impossible for USOE to create a state agency ally as has been the case in newer areas of state endeavor such as welfare and urban renewals that were initiated by federal grants.

Federal Funds for Education in Wisconsin

Congress has enacted statutes and passed appropriation bills which provide more than four billion dollars annually for elementary and secondary schools. These funds are used to support about forty specific educational programs. The state entitlement is normally calculated according to a formula which is included in the federal law. Since each law is written to accomplish a limited purpose, the factors in each formula are different. Accordingly, the allocation of funds to a state for a particular program is determined by the extent to which the need for the program exists within that state.

According to some measures, Wisconsin's access to the federal treasury for school purposes is restricted. On a population basis, Wisconsin ranks last among the fifty states in amount of federal grants it receives for education. For example, Wisconsin is not one of the wealthiest states—it is near the middle of the fifty states when ranked according to per capita income—but it happens to have a relatively low incidence of educational needs as defined collectively in the many federal aid programs. The state has been well below the national average in the percent of school revenue from federal sources consistently for the past eleven years! Generally, the figure for Wisconsin has been approximately one-half of the national average but it slipped well below that figure in 1973-74. (National Education Association, Research Reports, 1974). Of course, if the citizens of Wisconsin are concerned about retaining state control of education, and if they feel that federal influence goes with federal money, they can be proud of the extent to which Congress has assisted them in keeping education a state function.

The total Wisconsin entitlement to federal funds for education for the past eleven years is shown in Table 11.1. Again, the plateau in federal funding during the 1970's is apparent. Impressive, however, is the vast increase in federal funding which followed the enactment of ESEA in 1965.

Table 11.1 Federal Aid Allocations through Wisconsin DPI, 1963-73

Fiscal Year	Support to DPI	Aids to Schools	Total
1963	835,821	6,136,477	6,972,298
1964	720,334	7,513,180	8,233,514
1965	849,248	8,787,275	9,636,523
1966	1,974,476	30,117,980	32,092,456
1967	2,607,547	27,996,633	30,604,180
1968	2,730,494	28,937,924	31,668,418
1969	2,645,172	29,505,085	32,150,257
1970	2,818,441	33,666,880	36,485,321
1971	3,162,549	39,216,769	42,379,318
1972	3,247,906	43,931,395	47,179,301
1973	3,123,967	41,361,066	44,485,033

Federal Funding of DPI

Of special interest here is the extent to which federal funds are used to support the operation of the Wisconsin Department of Public Instruction. This is so because of the strategic position of the DPI in setting educational policy in the state. Federal dollars spent at this level have the potential for more impact on education than would be true, if the same funds were allocated to a single LEA in the state. The Federal Government has in fact spent between 2.6 and 4.5 million dollars per year for the operation of the Wisconsin DPI in the years 1969-73. This represents between 35 and 40 per cent of the DPI budget.

A substantial number of permanent DPI positions are supported by federal funds. The Division for Instructional Services, the Division for Handicapped Children, and the Division for Library Services have been the principal recipients of these funds. These three divisions account for all but about twenty-two of 144 federally funded positions. Funds for the positions come from eighteen categorical programs supported by the federal government. These programs and Title V, Section 503, support roughly 30 per cent of the permanent staff of the Wisconsin DPI.

Title V, Section 503 Funds for Wisconsin DPI

A discussion of federal impact on education in Wisconsin would be incomplete without a more detailed examination of Title V allocations. This is the case because Section 503 funds have few strings attached, the purpose being: "To stimulate and assist states in strengthening the leadership resources of their state educational agencies in the establishment and improvement of programs to identify and meet the educational needs of states." (Section 501(a) of P.L. 89-10, April 11, 1965).

Accordingly, Title V, Section 503 is important because it represents the nearest approximation to general assistance which can be found in the education acts. While the statute does include a list of suggested activities eligible for funding, in practice DPIs have been able to obtain support for any activity consistent with the broad purpose of the law—to "strengthen" DPIs. The significance of this statement is found in the fact that no DPI Title V application from any state has ever been rejected by USOE.

Approximately thirty-four permanent positions in the Wisconsin DPI were funded during fiscal year 1973 by Title V, Section 503 funds. Two-thirds of the positions were in the Division for Management and Planning Services. This use of Section 503 funds is highly consistent with the purpose of Title V as described in the statute. Moreover, it is clear that the Wisconsin DPI would suffer a substantial loss if Section 503 funds were eliminated. The Division for Management and Planning Services would be especially affected.

Access to a rather substantial block of general aid poses both opportunities and dilemmas for DPIs. In many instances the units within DPIs with the greatest manpower needs receive the bulk of the funds. This practice was criticized severely by Murphy. The major conclusion of his study of Title V programs is found in the title of the report, *Grease The Squeaky Wheel.* (Murpyh, 1973, p. 6) Other researchers have not agreed with Murphy. Shanks, of the Wisconsin DPI, concluded that a withdrawal of Title V funds would severely cripple DPIs. (Shanks, 1973) The differences in these views probably result from dissimilar interpretations of "strengthening" DPIs. Apparently Murphy would have Section 503 funds utilized for more creative and imaginative DPI activities while Shanks feels that an improvement in the quality of the rather standard functions of DPIs is the best way to maintain strength in DPIs.

Thus there are disagreements about how best to utilize Section 503 funds. Curiously, in a way, the disagreement is perpetrated in part by the categorical programs which Congress has encouraged. DPI support funds from these programs have contributed to an imbalance in staffing which has been corrected to some extent by the use of Section 503 funds. Most of the 34 permanent positions now supported by Section 503 funds are in the Division for Management and Planning Services which provides research, planning, and data processing services for many of the Divisions in the Wisconsin DPI which receive federal support funds for categorical programs.

Again, it is clear that federal funds are having a significant impact on DPIs. The quality and number of services provided by DPIs would be diminished greatly if federal funds were withdrawn. Less clear, however, is the amount of federal impact which is attached to a fixed percent of federal support. Small amounts of strategically placed funds may have a rather large impact. Conversely, a huge amount of money may wield less influence if the funds are used in a marginal unit of the DPI. Therefore, a tipping point, where the balance of control shifts from the state to the federal government, is impossible to establish.

Future Directions of Federal Aid

Accurate predictions about future directions of federal aid are difficult because of inflation, budget deficits, unemployment, and a host of other problems which are occupying most of the attention of Congress. In fact, maintaining existing programs at present levels of funding will require Herculean efforts. However, as noted earlier, federal programs for education seem to be born in times of national crises. Also, changes in educational policies are not normally initiated within the educational system. External pressures—Supreme Court decisions, the baby boom (more recently birth control), Sputnik, the war on poverty, community control, youth unemployment, the movement of women into the labor force—have resulted in more basic changes in education than have the pedagogical studies of professional educators. This practice will continue and possibly accelerate in the future. Therefore, educational policies based merely on projections or refinements of current programs are totally inadequate to meet the challenges which lie ahead. An attempt to identify future problems and a statement of assumptions about these problems seems to be a more productive way to proceed with educational forecasting.

Possible future trends have been identified by the Stanford Research Institute (1973) and similar agencies which scan the horizons for clues about the future. Examples of trends which seem likely to emerge and have profound implications for federal policy in education are:

1. Major economic challenges lie ahead, perhaps leading to a restructuring of economic institutions with resulting educational implications.
2. The decline in the number of the mature and older cities of the nation will continue.
3. The declining growth of overall federal expenditures and the attempt to bring the federal budget under control will create new priority debates over national goals and domestic programs.

The risks inherent in forecasting future social and economic trends are enormous. To take such forecasts one step further and predict the educational consequences is downright hazardous. Even so, some general directions, rather than precise events, may suffice. The principle task here is to make some observations about the probable future role of the federal government in education. They are as follows:

1. *The federal government will expand the federal-city relationship in education which has been field-tested during the past decade.*

Four conditions and trends seem to converge in support of this forecast. First, many people in Washington and around the nation are less than enthusiastic about the capacity of DPIs to respond to change. This view is articulated by several researchers who have evaluated the impact of Title V, ESEA, on DPIs. These works are replete with references to the failure of DPIs to recognize the need for change and stimulate new priorities. Indeed, Murphy suggests that the "enduring attributes of organizations" rather than failures in USOE, Congress, or state legislation explain what he regards as disappointing results from Title V. Murphy goes further to say.

> Proponents of this position would argue that organizations do not move flexibly to maximize efficiency, but change slowly to minimize uncertainty. When problems arise, organizations do not seek the best solution, but settle for ones that suffice and produce the least disorder. In this view, to suggest that SEAs should have acted in a substantially different manner when given wide latitude in the use of funds (Title V) is to substitute utopian hope for the reality of organizational behavior. (Murphy, 1973. p. 22.)

Other researchers have been less fatalistic in their analysis of change in DPIs. Their views are more closely related to the second condition which is advanced here in support of the prediction of more federal-city interaction (with a bypass of DPIs) in the future. Correctly, or otherwise, DPIs have an image which is, at best unenlightened with respect to central city education. Kirley and Tollman, for instance, studied the background and career patterns of state department personnel. In a 1967 report edited by Roald Campbell, they wrote:

> The most obvious generalization which can be made in summarizing our analysis is that the professional personnel in each of the states we studied comprise extremely homogeneous groups. These state departments of education are largely composed of men who have lived their lives in the rural areas of the states they serve; who have gone to state teachers' college and perhaps the State University; who had begun careers as professional educators, generally in rural schools, before entering the department and who had been invited to join the department by another member of the State Department of Education. (Campbell, 1967, pp. 74-75)

The third trend bearing on this federal-city courtship and possible marriage is the continuing decline of the mature and older central cities. The concentration of the poor in central cities imposes a heavy burden upon what is becoming a group of bankrupt school districts. As political control of the large cities shifts to Blacks and other minority groups, their mayors and school superintendents can be expected to march on Washington rather than on their state capitols for social justice. As this technique has been employed successfully in other efforts to obtain civil rights, there is good reason to believe that it will be used with even greater force in a search for a way to salvage crumbling city school systems.

Finally, there is a growing opinion that the states simply cannot cope with the problems in the big cities. This belief is based on the knowledge that the problems have been created at least in part by the movement of poor people from the rural sections of some states to the urban centers in other states. Also, the metropolitan areas often encompass parts of two states or more.

The President's Commission on School Finance urged an expansion of the federal-city relationship for these reasons. It recommended: " . . . the initiation by the federal government of an Urban Educational Assistance Program designed to provide emergency financial aid on a matching basis over a period of at least five years, to help large central city public and nonpublic schools. . . " (President's Commission, 1972, p. 44)

Archie Buchmiller of the Wisconsin DPI has also predicted an expansion of the federal-city relationship:

> **Increasingly, the use of direct state bypass and formalized pass-thru funding will be provided to local school districts by the federal government. This appears to have the sympathy of congressional and federal administrative leaders. As a result, USOE will assume greater, not less, prescription of administrative control in more programs via rules and regulations in the Federal Register. SEAs will increasingly contract with USOE for monitoring and evaluation roles. Large LEAs will become the site for investment in experimentation and change by USOE and NIE in an effort to improve education. These districts will find eager participants at universities and colleges who will become the base for support and assistance in this area rather than SEAs. (Buchmiller, 1974)**

2. *Congress will depend on agencies other than USOE to manage federal education programs.*

This prediction is based on the belief that formal education will become a less specialized function—one not limited to schools but shared with other institutions of society. Increasingly, educational reformers are looking to society to aid them in the attainment of educational objectives. Research results are supporting this trend as the evidence suggests a correlation between non-school factors and success in school regardless of the program of formal instruction.

Again, this trend is very apparent in Wisconsin. The Milwaukee Public Schools in 1973, for example, had programs funded by the National Institute of Health; Housing and Urban Development; Department of Labor; and the Social Development Commission. None of these funds were controlled by USOE or the Wisconsin DPI. In some instances grants were made to the City of Milwaukee which in turn contracted with the schools to operate the program.

A recent example of the willingness of Congress to bypass DPIs is found in Section 406, Title IV, of the 1974 amendments to ESEA. Paragraph (d) authorized the U.S. Commissioner of Education to arrange for the provision of services, as provided by Title IV, to children in private schools in states which are prohibited by law from providing such services. When the Commissioner arranges for services pursuant to this provision, the funds will be deducted from the allotment of the state. The Commissioner may provide such educational services through contract with a "person, association, agency, or corporation."

3. *The categorical aid approach to federal funding through USOE will not be expanded.*

This prediction may appear to be contradictory to earlier statements about the durable character of categorical aids and the observation that such aids were doubled with the passing of ESEA less than ten years ago. This forecast about categorical aids holds for a number of reasons. First, this prediction says nothing about the continuation of existing programs. Indeed, most of them will probably continue for many years. However, the likelihood of substantial new categorical programs seems remote because the trend is simply not in this direction. Proposals for grants consolidation and educational finance reform are more in tune with the times. As noted earlier, categorical grants tend to assume qualities closely akin to general aid because LEA's have multiple revenue sources. Also, virtually everyone condemns the concept of earmarked funds for education. Former President Nixon articulated this view in his message to Congress on Education Revenue Sharing, April 6, 1971.

> **The time, energy and imagination needed to bring education reform is frequently drained off into what is essentially non-productive effort to qualify for government grants. Yet, at the same time, rigid qualifications for grants frequently stifled creative energy . . . Educational planning is made difficult because of the fragmentation of grants and the present fragmented procedures virtually eliminate any possibility of preparing a comprehensive, coordinated program.**

4. *Grant consolidation and block grants will become increasingly popular with educators and politicians.*

Dissatisfaction with the effectiveness of government in America has been growing for more than a decade and is now at an all-time high. Although many reasons are given for the loss of public confidence in government, there is some agreement on the remedy—decentralization. David Cohen has noted:

> **A decade ago liberals would have dismissed this as either Republican ideology or thinly disguised states' rights propaganda but since then the climate has changed decisively. There is a growing agreement that the chief remedy for government ineffectiveness and inefficiency is to diminish federal power. (Cohen, 1970, p. 92)**

One procedure to accomplish decentralization is to turn federal revenues over to the state and local governments. There is the assumption that the money would be used at the discretion of those governments rather than being applied to narrowly - defined categorical programs. Accordingly, block grants for education are seen as the vehicle for reducing the federal government influence on education. Implicit in such proposals is the further assumption that the alleged weakness of state and local education agencies is the result of federal government encroachment. It is believed, therefore, that grant consolidation is a form of decentralization which will strengthen state control of education.

Few would quarrel with many of the goals of grant consolidation. As a fiscal procedure, the cosmetic effect on the some forty distinct categorical programs for elementary and secondary education would be worth the effort. The proliferation of federal programs, ensuring masses of red tape, regulations, and guidelines are a nightmare for administrators in DPI's and large city school systems. Therefore, grant consolidation is badly needed and it would likely remedy some of the more obvious barriers to effective administration. It is not equally clear, however, that steps of this sort are genuine moves toward decentralization. They seem just as likely to strengthen federal government influence as to weaken it. As DPI administrators are discovering in Title IV, Consolidation of Certain Education Programs, by the Education Amendments of 1974, the Congress expects to retain considerable control over the use of federal funds. Indeed, block grants could be used to accomplish any national purpose as seen by Congress. Equal educational opportunities for children of the poor is an example of a national need which might very well receive a congressional blessing. Title I may be the beginning of much more federal interest in this area.

As noted above, grant consolidation can increase federal influence on public education. An interesting example of this type of Congressional impact is found in the 1974 amendments to ESEA. Paragraph 5 of Section 403 in Title IV protects LEAs from state control. The statute requires that the state must produce a plan which: "provides that each local educational agency will be given complete discretion in determining how the funds it receives . . . will be divided among the various programs described in Section 421. . . "

David Cohen has investigated the political impact of revenue sharing and block grants. He raises serious questions about some of the conventional wisdom which is articulated in support of these proposals. He concluded: "If there is a sound political and administrative rationale for non-categorical aid, it must be that it will strengthen state government, not that it will reduce federal power."

Cohen then asks and answers the question:

> Would non-categorical aid have this effect? The result would probably be precisely the opposite. Revenue sharing or block grants might reduce federal power in education, but that is not the cause of the state school agencies' weakness. Furthermore, there is no reason to believe that the states' administrative capacity would increase . . . The combination of these factors makes it almost certain that new funds would simply be distributed with little or no effect on the vitality or capacity of the state agency.

Thus it appears that state governments have not grown weak because of federal encroachment. It seems equally clear that block grants will not establish a better balance within the federal system. The truth is that both the federal and state capacity to govern have not kept pace with the growth of educational institutions and the population's demand for improved services. Revenue sharing or block grants would probably weaken the ability of USOE in this regard, without strengthening the state.

5. *Federal funds to encourage school finance reform are a distinct possibility.* (Educ. Commission of the States, 1974) While it would be erroneous to say that a national policy respecting public education has emerged in all of the categorical programs, the most recurring theme is "equal opportunity". The relatively large appropriation for Title I, ESEA is an example. However, in many instances badly conceived and poorly administered property tax systems have tended to negate the impact of Title I. Senator Muskie, Chairman of the Senate Subcommittee on Intergovernmental Relations, described a major national concern:

> No one in this room, I am certain will argue that the property tax is administered as efficiently and fairly as it should be. In seeking to remedy that situation, the federal government has a limited but essential role to play. Where heavy property tax burdens on the poor and the elderly undercut federal programs to guarantee all citizens a measure of economic security, there is a national interest in adjusting these burdens. (Muskie, 1973)

Study groups and commissions on school finance, including the President's Commission on School Finance, have urged the federal government to provide funds to encourage school finance reform:

> The federal government, however, can greatly facilitate the reforms which we consider essential. In recognition of the financial and political constraints on the states, we have recommended considerable increases in federal outlays. But we have seen the need to tie these outlays to reform. More money, of itself, will not produce the reforms we believe to be in the national interest. (President's Commission, 1972, p. 32)

In response to these kinds of concerns, a number of congressmen have introduced school finance bills in recent years. At least eight such bills were offered during the first session of the 93rd Congress. Generally, they are designed to accomplish through federal incentive grants that which could not be achieved in the Supreme Court in the case of *San Antonio Independent School District V. Rodriguez.*

The appropriate response of the Wisconsin DPI in this instance seems to be in the direction of full implementation of the power equalization concept as enacted in the state statutes in 1973. A guaranteed uniform tax base for all school districts, as provided in the Wisconsin statute, is a step in the right direction. This approach, plus a capability to quickly simulate for Wisconsin the impact of all federal proposals for property tax reform, would seem to be the most useful stance to assume. However, from a political position, DPI administrators may wish to oppose such federal legislation, leaving to the states the delicate matter of property tax reform. Federal intervention in this area could cause an excessive entanglement of the tax structures of the local, state, and federal government. Such entanglement would certainly incur serious judicial displeasure if it limited the right of the states to raise revenue for education. As Berke has observed:

> While a federal exercise of authority to undertake grant programs under its power to tax and spend for the general welfare is unquestionably proper, the conversion of that limited role into a complete bar to state activity in an area of First Amendment sensitivity like education is a larger constitutional leap than the Supreme Court is likely to take. (Berke, 1972, p. 89)

Also, one might point out that since Congress has been unable to reform the federal income tax structure, it would be unlikely to enter the arena of state taxes to try to accomplish that which the states cannot achieve in their own legislative halls.

Alternatives Available to DPI

The foregoing statements about likely changes in the federal role in education have enormous implications for DPI. The interests of all concerned will be served best if these implications are identified and alternative strategies considered. Such is the purpose of the final section of this paper. Before proceeding, however, it seems necessary to describe what appears to be the present posture of the DPI with respect to federal funding of education.

DPI personnel seem to be fully committed to the administration of federal programs according to statutes and USOE guidelines. The relationship between DPI program directors and USOE administrators is uniformly harmonious. Technical assistance is often sought and received from USOE personnel and independence from other program control and influence is apparent.

A second observation about the policy of the DPI toward federal funding is that administrators are under pressure to get as much money as possible. While this is not necessarily the official policy of the DPI, it permeates the entire Department. Survival in a highly bureaucratic structure demands no less of program heads. Also, the citizens of Wisconsin, like their counterparts in all other states, want their federal tax dollars returned to the state. Therefore, complaints about federal controls are generally kept within the DPI and soon become lost in the press for more federal funds. Indeed, the most pervasive criticism of federal programs is that the money allocation is insufficient—not the existence of unreasonable federal control. This unwritten policy concerning the need for more federal funds is understandable because, as noted earlier, the level of federal aid received has not been favorable to Wisconsin.

The third, and final, generalization about DPI policy respecting federal programs is the absence of a programmatic thrust within DPI. Each categorical program has goals and objectives, but there is no evidence of a single state plan. While federal statutes and guidelines do place restrictions on the use of funds, it would be possible to identify one or a few programmatic thrusts to be pursued to the extent that discretion permits. All of the federal programs do allow for a considerable amount of state determination respecting the use of funds.

These observations about DPI policy and the predictions about the changing role of the federal government in education provide the background for the following list of DPI alternatives.

1. *Develop a DPI philosophy regarding federal funding.*

There is nothing to suggest that the pressure to obtain federal funds by the DPI will diminish. Therefore, the wisest management strategy is to use such funds to satisfy DPI goals as far as possible. Given the plethora of categorical programs now funded by the federal government, it is possible for the DPI to shape the use of these funds to resemble general aid. The necessary but missing ingredient is a single programmatic thrust and policies to implement it.

2. *Counteract the federal—city relationship by making a greater effort to respond to the needs of the large metropolitan areas in the state.*

The large city school districts in Wisconsin and throughout the nation are pressing hard for more money from federal agencies in Washington. More than three million federal dollars annually reach the Milwaukee schools without going through the DPI. This is about one-third of all federal funds for schools in that city. Incidentally, virtually all of the remaining federal funds for Milwaukee schools come from Title I, where the DPI has the least discretion in the allocation of money.

The first step in creating a new and more urban image would be to employ more administrators with large city school backgrounds, including a representative number of Black people. This is not a criticism of the personnel now employed by DPI, but rather an argument for a better balance. Other changes, such as the creation of a Bureau of Urban School Programs, should also be considered.

3. *Expand the concept of education.*
The tendency of Congress to search for nonschool agencies to administer education programs suggests that professionals in education have a narrow focus. The DPI must cast off its image as the champion of the little red school house on the prairie. Formal education must be seen more as a function of society as a whole than of schools as separate and distinct institutions. The DPI has a unique opportunity to assume a leadership position encompassing the total educational function rather than limiting itself primarily to publicly supported education in existing school systems. Whether DPI is ready and willing to exercise this responsibility is an open question. If it fails to do so, it will come to relate to the overall educational process much as the railroads have come to relate to transportation. Once the mightiest, wealthiest, and most powerful, it will become the weakling of the education system. If the DPI is as unimaginative as the railroads, it will find itself increasingly bypassed.

4. *Change the present concept of management of federal programs.*
Federal aid allocations for categorical programs in the past have been largely bureaucratic decisions made by the DPI with possibly some input from advisory committees. The process has been characterized by the writing of proposals and state plans, approvals by USOE, and grant awards. As the Stanford Research Institute has noted:

> **The present system of HEW program management is based on the principle that federal funding can serve as both a carrot and a stick. This strategy rests upon the fact that highly targeted, specific categorical programs provide incentive for the attainment of certain objectives because federal funds can be increased or be taken away depending on whether or not certain objectives are met. (Stanford Research Institute, 1973, p. 39)**

Clearly the "carrot" approach will have little meaning if the trend toward formula distribution of block grants or revenue sharing becomes a reality. The opportunity to review detailed plans for distribution of federal funds will be eliminated. The entire control function will shift to a post-audit concept to determine whether school systems are using their money legally and obtaining the results which are anticipated. In other words, the focus will be on outputs rather than inputs. The states will be held accountable for results.

The DPI implications from this prediction are rather impressive. The major emphasis in the future will be on program evaluation. In this instance the DPI may be forced to utilize a similar management strategy with LEAs to complete the accountability chain.

A Carrot or a Stick?

A central theme permeating this paper is that Congress has used its power to find education as a carrot to persuade states and LEAs to comply with its wishes respecting an emphasis in education. In some instances the emphasis has been narrowly defined and in others the funds have been used for a variety of programs. Also, the Congress has provided a substantial "bonus" in some acts and but a token one in others. In virtually all instances, however, the technique has been to offer a financial incentive with the implied threat of withdrawal if states or LEAs fail to comply with the federal statutes and the attendant USOE guidelines.

Congress has adopted a posture of persuading rather than prodding because of its weak legal position regarding the control of public education. As noted earlier, the U.S. Constitution has established education as a function of the several states. Congress can tax and spend for education under the General Welfare clause but it has no legal obligation to do so, and there is no constitutional authority for Congress to directly control or manage the schools. Accordingly, Congress has adopted the "carrot" approach because it is the only tool available. It follows that there is no stick in the federal-state relationship in education except to the extent that the potential denial of funds is so perceived. Those who regard such an eventuality as an undisguised stick seek to regain control of federal tax dollars as entitlement of the states rather than an "aid" to a state function. While federal education acts often include a measure of this concept, as represented by formula distribution and no pre-grant approval by USOE, there is no constitutional requirement that Congress provide aid for all schools or any schools. Therefore, those who would establish the federal Congress as the tax collector for public schools must depend on the political process or change the Constitution.

The foregoing conclusions about the federal-state relationship are equally appropriate for the interaction between the Wisconsin DPI and the federal government. The DPI has accepted large sums of federal money for its own support. With the single exception of Title V, this money has been earmarked for specific programs. However, given the discretion which is generally included in the federal acts, and the flexibility afforded by multiple sources of income, the funds have been used to strengthen the DPI without relinquishing control to Washington. Therefore, if federal funds were withdrawn from the DPI, there would be a substantial diminution in the range and quality of services, without an appreciable increase in the degree of state control.

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CHAPTER 12

Future Issues

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IN THE PRECEDING CHAPTERS THE READER already has been bombarded with so many "absolutely musts," "positively shoulds," and "probably-ought-to's" (commonly called the "musty-shouldy-oughts" in education) that at this stage one may either develop despair or adopt ambivalence, rather than be motivated to attack additional issues. Even so, some may be stimulated to speculate about the largely uncharted directions ahead.

It is the purpose of this chatper to look across that which has been presented in order to discern additional educational issues which demand definition and delimitation. In so doing, we will first present a basic bidimensional taxonomy which consists of the following: the levels of education, and the functions of education. The resulting grid will then be used to analyze the contents of this book and to identify gaps in our present understanding. The chapter concludes with a brief restrospective analysis and prospective view.

A Model for Analyzing Issues

Utilizing a dimensional approach to issue definition, we can posit two basic questions which characterize our present system of education:

1. At what level are the educational services to be provided?
2. What are the basic educational functions to be performed?

Educational Levels

Typically, the concept of educational level is quickly referenced by educators to mean grade level—elementary level, secondary level, and the like. Equally, however, educational level is used to refer to the governmental systems or structures in education—at the state level, the school district level, and the like. Both meanings are useful for examining educational issues. Regarding the first usage, for example, it is quite common in college and university pre-service and in-service programs for preparing teachers and administrators to include such courses as "Issues in Early Childhood Education," "Issues in Elementary Education," "Issues in Secondary Education," and "Issues in Adult and Higher Education." Likewise, it is common, particularly in administrator preparation programs, to include courses and seminars concerning issues in education at federal, state and local levels. It is this writer's view that education at the various grade levels, pre-school through adult education, has much more in common than it does unique—goals, inputs, processes, outputs (and the issues concerning them). Hence, the usage referring to governmental levels of education is more fruitful for serving as a basic dimension in analyzing issues and forcasting futures.

It is not necessary here to document or discuss timeworn treatments of the governmental structure of American education. Suffice it to observe that, in general, the following categories define this dimension:

1. Federal programs
2. State educational agencies
3. Intermediate educational units
4. Local school districts

The above list can obviously be extended downward to include the sub-district structure (particularly in large urban school systems), the school, the department or unit, the classroom or other instructional groupings, and, ultimately the individual student. For certain purposes this extended listing is quite useful—particulary when identifying and tracing problems in educational delivery systems. In the instant case, however, the four levels will suffice, provided that one constantly remains cognizant that ultimately education is a highly individualized and personalized process.

Currently, the third level in the above taxonomy, the intermediate educational unit, is the one that is least well defined. The intermediate unit does not exist at all in some states and it is subject to various, if not vagarying, purposes, organization, functions, and financing in other states, including Wisconsin. For these reasons, the intermediate unit should be included as a basic element for issue analysis. Obviously, however, analyses and projections concerning this level of education may need to be merged with those of either the state educational agency or the local school district in certain Southern and other states which early in their history established school districts of adequate size. Another reason for including the intermediate unit surrounds the implications deriving from recent court cases concerning the merger of urban and suburban school districts into larger units to achieve greater equality of educational opportunity [Bradley v School Board of City of Richmond, 412 US 92 (1973), and Bradley v Milliken, 94 S Ct 1069 (1974).].

Educational Functions

As indicated in Chapter 1, the basic functions in education may be grouped in terms of the following taxonomy (Lipham and Hoeh, 1974):

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1. The instructional program
2. Student personnel
3. Staff personnel
4. School-community relationships
5. Administrative organization
6. Financing education

Although volumes have been written concerning each function, it seems necessary here to sketch, at least in broad strokes, the predominant processes in each of the functions.

Instructional program is a comprehensive term which includes all curricular and co-curricular experiences provided for students. The processes involved include: assessing the context for education; determining educational goals, philosophy, and needs; stating educational objectives; planning and implementing instructional activities; and evaluating program outcomes. In assessing the context for the educational program, one must give attention to both societal change and commuity demands as they impinge on the goals and the program of the schools. In determining educational needs, attention is given to the learners in general, as well as to the learners in a particular community. Activities involved in stating educational objectives are directed toward the reduction of broad goals and purposes into measurable behavioral outcomes. Planning and implementing instructional activities includes attention to the human and material inputs and processes required to change and improve the educational program. In evaluating outcomes of the educational program, one must utilize appropriate techniques for assessing both the processes and the products of instruction.

The functional category of *staff personnel* includes recruiting, selecting, assigning, orienting, supervising, improving, and evaluating the staff members of the school. With the advent of collective negotiations in education, the traditional *modus operandi* in staff personnel functions has changed dramatically and undoubtedly will continue to change regarding each of these specific processes.

The function of *student personnel* includes all direct services to students. A program of adequate guidance services constitutes the core of the student personnel function. Included are individual inventory, information, counseling, placement, and research services—all of which converge on the needs of the individual student. In fulfilling this function, appropriate structures must be provided for orchestrating the contributions of teachers, guidance counselors, and other student personnel specialists to enhance each student's feelings of satisfaction, belongingness, identification, and achievement in present and projected life situations.

The function of *school-community relationships* includes the following: assessing community needs and expectations; analyzing the composition, relationships, and demands of community subpublics; ameliorating conflicting expectations and demands; involving community leaders, organizations, and agencies; working with parents, parent organizations, and volunteers; and communicating with the broader community about the purposes, programs, progress, and plans for the improvement of education.

The function of *administrative organization* is concerned with the governance of education; the formal and informal organizational structure for education; and the intra- and extra-organizational roles and relationships of participating agencies, groups, and individuals.

The function of *educational finance* includes the following: obtaining education resources for planning, programming, and budgeting; purchasing and requisitioning equipment, supplies, and materials; accounting for school monies; maintaining inventories and property; supervising plant construction, maintenance, and operation; and supervising school lunch and other auxiliary services, including student transportation.

The Level-Function Taxonomy

As in the case of all complex social processes, the levels and functions of education are intimately interrelated, so that change in one immediately affects another. Additionally, issues of considerable magnitude appear to cut across all levels and functions. Even so, the two-dimensional framework shown in Figure 12.1 may be useful for reviewing the issues analyzed in the previous chapters and for pinpointing certain omitted cells which demand our further attention.

As one may observe from analyzing the taxonomy, at the federal level only cells 1 and 6 which deal with the instructional program and finance have been addressed, and those indirectly. Although beyond the scope of the present publication, additional analysis is needed for cells 2 through 5. Cells 2, 3, and 4, concerning federal involvement in staff personnel, student personnel, and community relations, might continue to receive direct treatment at lower educational levels, however, the indirect federal influences on the following cannot go unnoticed: programs affecting staff evaluation, negotiations, and tenure; the protection of student records and human rights; and the mandating of citizens' advisory committees in the schools. Regarding cell 5, the federal organization for education, clarification is needed concerning the actual and ideal roles of the Congress, the courts, the President, the U.S. Office of Education, the National Institute of Education, and other federal agencies engaged in educational activities. The issue of federal financing of education also should be examined directly—particularly in view of the Serrano and Rodriquez decisions.

In regard to the state educational agency, issues in most of the cells have been addressed directly in the ten preceding papers with one regretable exception—that of cell 11, the administrative organization of the state educational agency which was treated only by implication. In a future paper the following issues should be examined directly: the governance, functions, structure, and financing of the DPI. In addition, it should include a delineation of the purposes and goals of the agency, the primary extra- and intra-organizational relationships, and the effectiveness of the DPI's services as perceived by superordinate and subordinate agencies, groups, and individuals in Wisconsin.

As indicated previously, only one of the papers treated the role of the intermediate educational unit—it dealt directly with the organization of this agency in Wisconsin (cell 17), and indirectly with the remaining functions. Needed in the future are issue papers that deal directly with intermediate units, not only in Wisconsin, but in other states as well. Substantively, the functions and services of the intermediate unit vis-à-vis teachers, students, and citizens might be addressed in terms of the following kinds of questions:

1. Regarding the educational program (cell 13), what is the role of the intermediate agency in planning, implementing, and evaluating existing and innovative instructional programs?
2. Regarding staff personnel (cell 14), what is the role of the intermediate unit in providing staff personnel services, including area wide negotiations with teachers?
3. Regarding student personnel (cell 15), which services to students might the intermediate agency provide directly? Do these services extend beyond those presently provided for students identified as having special educational needs?
4. Regarding community relations (cell 16), how might the intermediate unit improve relationships with parents, agencies, organizations, and other groups in the broader community? Are citizens even aware of what a Cooperative Educational Service Agency does, can, or should do?

At the local level, cells 19 through 22 regarding the instructional program, staff personnel, and community relations, have been treated directly or indirectly. From the matrix in Figure 12.1, it may be observed that two remaining cells at the local level are vacant, cells 23 and 24. Cell 23 concerns the administrative structure and organization of the local school district. For many years, of course, this cell was given attention in that the issue of school district reorganization raged, in Wisconsin and elsewhere. Needed now are analyses of viable subdistrict structures—particularly in large school districts where various decentralization plans currently are being pro-

Fig. 12.1 A Taxonomy for Analyzing Educational Issues

EDUCATIONAL LEVELS	Instructional Program	Staff Personnel	Student Personnel	Community Relations	Administrative Organization	Finance
Federal Programs	1 I	2	3	4	5	6 I
State Agencies	7 D	8 D	9 D	10 D	11 I	12 D
Intermediate Units	13 I	14 I	15 I	16 I	17 D	18 I
Local Districts	19 D	20 D	21 I	22 D	23	24

EDUCATIONAL FUNCTIONS

D = Dealt with directly in the issue papers
I = Indirect implications treated in the issue papers

posed and presumably implemented. Regarding cell 24, local educational finance, several matters, in addition to the local demand for accountability, should be examined. These include consideration of such perennial issues as ability to pay and educational equity, as well as such emergent issues as local autonomy and control of funds, such as the current political pressure in Wisconsin to place limits on local expenditures. These and other issues appear to be exacerbated by inflation, recession, reduced enrollments, and other societal impingements upon the schools.

A Future Perspective

Ideally, publications dealing with educational issues quickly become dated in that the problems are soon solved. Practically, however, one must take the Janus-like view, sorrowfully noting that many issues are as perennial as dandelions, yet one must look hopefully toward solutions in the years ahead. As most of the authors have shown, the seeds for many of the issues were sown early in this century, if not before. Certain antecedents were noted: for example, kindergartens and nursery schools in early childhood education; life adjustment and vocational programs (to use Mr. Nixon's unfortunate analogy) in career education; private and parochial schools as viable alternatives; the county superintendency as an early intermediate agency; and categorical versus general federal aid to education. These and other persistent educational issues, such as, community involvement, educational assessment, and in-service education, appear not to have changed as substantively during the period 1950 to 1975 as they did during the first half of the century. By contrast, the issue of collective negotiations appears to be a quite recent phenomenon, at least on the educational scene.

The perceptive reader, of course, will immediately recognize that no one of the individual cells in the matrix has been treated exhaustively. Regarding the instructional program, for example, the implementation and evaluation of several emerging programs have been discussed—early childhood education, career education, alternative schools, and the like. Overarching these is a most basic issue: What are or should be the goals and purposes of education? Hence, a paramount pressing issue which demands continuing attention in the future is that of first clarifying our educational goals and objectives, and then reaching a higher degree of consensus, not only among educators but between educators and all citizens, concerning them.

In the early 1930's Professor George S. Counts, in a booklet entitled *Dare the Schools Build a New Social Order?* (1932) questioned whether educators wished to be in the vanguard of change or simply continue to respond to societal pressures and demands for change. Since that time, it has become popular to characterize educators, including state education agencies, as either regulatory or innovative. Neither bipolar characterization is correct, since the state education agency must, at the same time, both exercise control and exert leadership. In our look to the future, therefore, a central overarching issue remains: Better means and mechanisms must be found for appropriately involving administrators, staff, students, parents, and all citizens in educational decision making. The creation of appropriate formal and informal structures for planning educational programs, implementing educational processes, and evaluating educational outcomes represents the essence of educational leadership. Hopefully, leaders at all levels will respond to this challenge both immediately and in the years ahead.

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